

Meeting: West Northamptonshire Shadow Executive
Date: 5 January 2021
Time: 6:00 pm
Venue: Virtual meeting via Zoom

The meeting will be available for the public to view here:
<https://www.youtube.com/channel/UCujrRO-y6RzkN6zPQ-xNAtA>

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Item	Subject	Key Decision?	Responsible Officer	Page no.
01	Apologies for non-attendance			-
02	Notification of requests to address the meeting.			-
03	Members' Declarations of Interest			-
04	Minutes of the Meeting held on 24 th November 2020			5-15
05	Announcements			-
Items requiring a decision				
06	Director of Transformation's Programme Update	No	Jane Carr	17-35
07	Programme Change Requests	No	Programme leads	37-84
08	Draft Budget 2021/22 and Medium Term Financial Plan	No	Martin Henry	Separate document
09	Draft Housing Revenue Account (HRA) Budget, Rent Setting 2021/22 and HRA Budget Projections 2022/23 to 2025/26	No	Martin Henry	85-100
10	Harmonisation of Council Tax Discounts and Premiums for West Northamptonshire Council	Yes	Martin Henry	101-105
11	Council Tax Reduction Scheme – Consultation Feedback	No	Martin Henry	To follow
12	Assets, Capital Schemes and Reserves Notification	No	Martin Cox	107-111

	Process – Update			
Matters that Stand Referred from the Shadow Authority				
13	No matters referred.			
Exempt Items				
14	None notified			-
Urgent Items				
15	None notified.			-
	Catherine Whitehead, Proper Officer Date issued: 23rd December 2020			

What is the Shadow Executive?

In accordance with Government legislation, the West Northants Shadow Authority has a Shadow Executive (executive committee). The Shadow Executive is responsible for taking many of the decisions required to establish the new authority by April 2021.

Who are the members of the Shadow Executive?

The Shadow Executive is made up of two representatives from each of the current councils, consisting of the Leader plus another Councillor.

Councillor	Authority
Councillor Ian McCord (Leader)	South Northamptonshire Council
Councillor Jonathan Nunn (Deputy Leader)	Northampton Borough Council
Councillor Richard Auger	Daventry District Council
Councillor Elizabeth Bowen	Northamptonshire County Council
Councillor Rebecca Breese	South Northamptonshire Council
Councillor Adam Brown	Daventry District Council
Councillor Matt Golby	Northamptonshire County Council
Councillor Phil Larratt	Northampton Borough Council

When does the Shadow Executive meet?

The Shadow Executive usually meets on a monthly basis, but it may meet more frequently if required. Meetings take place on Tuesdays at 6pm as follows:

- Tuesday 5 January 2021
- Tuesday 26 January 2021
- Tuesday 12 February 2021
- Tuesday 23 March 2021

The venue will be confirmed when the papers for a particular meeting are published, but at the moment meetings are taken place virtually. Members of the public who wish to view the meeting can do so via the West Northamptonshire Democratic Services YouTube Channel here:

<https://www.youtube.com/channel/UCujrRO-y6RzkN6zPQ-xNAtA>

How do I find out about what is being discussed at future meetings?

The agenda and reports for all meetings are published 5 working days in advance and can be downloaded here:

<https://cmis.northamptonshire.gov.uk/cm5live/WestNorthamptonshireShadowAuthority.aspx>

Can I participate in meetings?

Shadow Executive meetings are normally held in public. At present, members of the public may watch the proceedings via YouTube (see link above) in place of attending meetings in person. Members of the public who live or work in the area of the Shadow Authority may request to make a statement on any item on the public part of the agenda. Any person who wishes to make such a statement must submit their statement to the Monitoring Officer, via Democratic Services, at least 24 hours before the start of the meeting.

Declarations of Interest

Shadow Councillors are reminded that the Code of Conduct contains provisions relating to the declaration of interests. Please refer to the Code of Conduct for a fuller description of what constitutes an interest. Shadow Councillors are reminded of the seriousness of failing to declare an interest. Shadow Councillors are reminded that if they have a Discloseable Pecuniary Interest or a significant Non-Statutory Discloseable Interest in a matter to be discussed, whether registered or not, they must not take part in the debate or vote on that matter and should remove themselves from the meeting room irrespective of whether they are a member of the committee.

Members are reminded that under the Code of Conduct, they need only declare the existence of an interest if that interest is not already listed in their register of interests. When declaring an interest at a meeting, councillors are asked to state:

- The item number in which they have an interest;
- The nature of the interest; and
- Whether the interest is a Discloseable Pecuniary Interest or Non-statutory Disclosable Interest.

It is the responsibility of individual Shadow Councillors to decide whether any of these provisions apply in particular circumstances, but Shadow Councillors may wish to seek the advice of the Interim Monitoring Officer before the meeting.

Notice of items on this agenda which may be held in private

At times it is necessary for the Shadow Authority to give consideration to items where the public must be excluded from the meeting. Members of the public may be excluded from meetings whenever it is likely that confidential or exempt information would be disclosed. This includes exclusion from access to any pertinent documents. Details of the exemption categories can be found in the Access to Information Procedure Rules section in the Constitution.

The table below lists any items which may be considered in private at this meeting, the reason for holding the meeting or part of the meeting in private, any representations made to the Council regarding why the meeting should be held in public along with the Council’s response to these representations.

Details of any items of this agenda which may be held in private			
Decision making body:	Shadow Executive		
Date & Time of meeting:	None		
Item in respect of which the meeting or part of the meeting may be held in private	Reason for holding the meeting or part of the meeting may be held in private	Details of any representations made to the Council regarding why the meeting should be held in public	Details of the Council’s response to the representations
None	N/A	None	N/A

West Northamptonshire Shadow Executive

24 November 2020

Shadow Executive Members Present:

Richard Auger	Matt Golby
Lizzy Bowen	Phil Larratt
Rebecca Breese	Ian McCord (Chair)
Adam Brown	Jonathan Nunn

Other Shadow Authority Members Present:

Fiona Baker	Danielle Stone
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Officers Present:

George Candler	Chief Executive, Northampton Borough Council
Jane Carr	Transformation Director, West Northamptonshire Shadow Authority
Martin Cox	Programme Lead, Corporate Programme, Future Northants
Anna Earnshaw	Chief Executive, West Northamptonshire Shadow Authority
James Edmunds	Democratic Services Assistant Manager, NCC
Theresa Grant	Chief Executive, NCC
Rachel Hand	Project Manager (Corporate), Future Northants
Paul Hanson	Democratic Services Manager, NCC
Martin Henry	Chief Finance Officer, West Northamptonshire Shadow Authority
Alex Melia	Democratic Services Officer, West Northamptonshire Shadow Authority (Minutes)
Kerry Purnell	Assistant Director, Corporate & Community Services, NCC
Audra Statham	Finance Enabler, Future Northants Programme
Ian Vincent	Chief Executive, DDC
Catherine Whitehead	Monitoring Officer, West Northamptonshire Shadow Authority

1. APOLOGIES FOR NON-ATTENDANCE:

None received.

2. NOTIFICATION OF REQUESTS TO ADDRESS THE MEETING:

None received.

3. DECLARATIONS OF INTEREST:

None received.

4. MINUTES OF THE MEETING HELD ON 27 OCTOBER 2020

RESOLVED: That the Shadow Executive approved the minutes of the meeting held on 27 October 2020 as a true and accurate record.

5. ANNOUNCEMENTS

The Chair noted that there are only 127 total days - and only 90 working days - until vesting day. Despite the time restrictions, consistent progress is being made, and a recent session with the LGA provided additional confidence to the Chair on the readiness for day one.

6. TRANSFORMATION DIRECTORS UPDATE

The Transformation Director, West Northamptonshire Shadow Authority, introduced the report and highlighted the salient points:

- Finance has moved from green to amber status, mainly because of a reliance on SME's that have other significant commitments. The sovereign authorities are being consulted to help address concerns in this area.
- Corporate remains amber whilst the work with HR and discussions with Trade Unions is ongoing.
- The Children's Trust has gone live since the previous update.
- The outgoing Programme Director has provided an in-depth induction and handover to ensure a smooth transition and coverage across all areas.

The Chief Executive, Northampton Borough Council, provided an update on Day 1 Assurance:

- Work is ongoing to address issues in the ICT and business systems, which had previously been highlighted as an area of concern. This has led to a data sharing agreement between both Unitary Authorities for day one onwards.
- Timelines are in place for the remaining areas reported as amber, to ensure their readiness for day one.
- A weekly day one readiness update has been scheduled with each of the key programmes.

The Transformation Director gave an update on the Change Management element of the Programme:

- The Children's Trust went live on 1 November 2020, with no major issues reported thus far.
- The roll out of MS365 is ongoing, with an error rate of 0.005% during the migration of >1.7tb of data.
- The launch of the new Adult's Social Care system, Eclipse, is scheduled for 7 December 2020. All-staff training for this began on 23 November 2020.
- There are currently 374 change champions across the County, an increase of 24 from October, which has addressed some gaps across the programme.
- The Transformation Director provided an overview of the recent activity and next steps for the communications and overview element of the programme.

Councillor Danielle Stone made the following points:

- The volume and quality of the work involved to bring the programme to its current point was commended.

- Concerns were raised over a potential lack of capacity in finance and how this is being addressed, as well as how audit issues within the sovereign authorities may impact on the budget setting process for the West Northamptonshire Council.
- It was noted that staff had given positive feedback on the impact of the work in Adult's services. However, Councillor Stone queried the ability to monitor this area.
- An update on the progress of Newton Europe was requested.
- It was also noted that an Ofsted inspection has taken place on the Children's Trust, but the report has not yet been made publically available.

Members of the Shadow Executive commented as follows:

- Councillor Fiona Baker asked for clarity on the issues that are keeping Children's at amber status, and clarified that the Ofsted report on the Children's Trust has not yet been published into the public domain.
- The Transformation Director advised that the update provided the previous month's reporting, prior to the launch of the Children's Trust, with the figures for the current month not yet available.
- The Chief Executive, NCC, advised that the Children's Trust has entered the stabilisation phase, which may result in areas being reported as amber until this work is complete. The transition period will run until 1 April 2021, which requires further work for this area of the programme.
- The Chief Executive, West Northamptonshire Shadow Authority, confirmed that there had been no drop-off in residential quality monitoring for Adult's services. It was also noted that Newton Europe is continuing its work and as a result, the forecasted £15million saving is likely to be completed.
- Councillor Adam Brown noted that oversight reports on the Children's Trust will continue to be taken to NCC's Cabinet, but expressed a desire for more detailed reports going forward given the importance of the transition into a Unitary authority. Councillor Brown also asked for clarity on the key milestones during this period.
- Councillor Ian McCord confirmed that regular meetings were scheduled, along with the Leader of the North Northamptonshire Shadow Authority, to actively monitor the progress in this area.
- The Chief Executive, NCC, confirmed that key milestones are set out between now and April 2021, with Councillor Baker acting as Chair for a strategic board designed to oversee and provide political input to issues regarding the Children's Trust.
- The Chief Finance Officer, West Northamptonshire Shadow Authority, noted that the finance capacity of the programme is amber, but this is being actively monitored and issues considered. In relation to audit, the sovereign councils have audits open from the 2018/19 period which will not be closed until 2021/22, but this will not have an impact on the budget setting process.

Councillor Stone expressed concern that if all budgets are not fully closed then this would continue to have an impact on the opening balances of the West Northamptonshire Council.

In response, the Chief Finance Officer advised that there are two separate issues. Firstly, there is the technical closing down of the accounts, which will continue into the new authority – meaning that a closing position will not be available to provide an opening balance. Furthermore, budget setting is a separate process to the closing of the accounts, allowing for estimates on the potential costs of services to be made.

The Finance Enabler, Future Northants Programme, introduced the finance monitoring report and highlighted the salient points:

- The finance monitoring report shows a slightly improved position, an increase of £58,000 compared with the previous report.
- This is made up of two areas, with the senior appointments that were previously budgeted for now made. Due to the varying start dates of the appointees, there is now a favourable variance of £190,000.
- There has been a downturn in home to school income due to the impact of Covid-19.
- The outturn position of the eight sovereign authorities has shown an improvement on the previously reported £1.4million budget deficit. All overspends have common themes, which are currently being mitigated.
- These mitigations include extra funding drawn from reserves, which will leave less for the two new Unitary authorities to call on in future. As a result, requests to central government to provide support for the additional costs from Covid-19 have been made.

Councillor Danielle Stone expressed concern over the use of reserves, noting the risk of a potential recession, and the need for contingency plans for pressing issues.

Councillor Matt Golby stressed the desire of the sovereign councils to limit the use of reserves where possible, noting that Northamptonshire County Council is predicting a surplus, which could also increase. Councillor Golby also reemphasised the commitment made by the County Council in recent years to stabilise finances for the benefit of both West and North Northamptonshire.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

- a) **Noted the high level programme delivery status;**
- b) **Noted the update on change readiness;**
- c) **Noted the communication and engagement update; and**
- d) **Noted and approved the finance monitoring report.**

7. PROGRAMME CHANGE REQUESTS

The Chief Executive, West Northamptonshire Shadow Authority, introduced the report and highlighted the salient points:

- Previously, a West Northamptonshire blueprint had been presented to Members and signed-off in May 2020, followed by a more detailed blueprint in recent months.
- It was noted that some anomalies existed between the two reports, which has prompted a move towards more formal documentation.
- This documentation contains a table designed to more clearly outline the path of each service, indicating whether it will be disaggregated, hosted, or externally provided.
- A change control log has also been created, in order to formally record any agreed changes to the blueprint and ensure that due process is followed with a clear audit trail of decisions.
- The appendices to the report detail some of these proposed changes to the blueprint, which affects Public Health and Emergency Planning.

- It was noted that the original intention was to split these teams. However, given the ongoing Covid-19 situation, the disaggregation of these services has been delayed until 2021.
- There has also been a change to Adult's services, with brokerage, commissioning and safeguarding now in a position to be disaggregated rather than hosted.
- If the Shadow Executive were to agree to these suggested amendments, only 50 out of 1600 staff working within Adult's services would not be disaggregated going forward.
- The final change relates to the Children's Intelligent Client Function – the monitoring function which sits over the Children's Trust. Originally, this was proposed as a disaggregated function, but this has been revised to a lead authority model, to mitigate duplication of service between the two authorities.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

- a) Approved the Change request process as outlined at Appendix A in the Change Request Form; and**
- b) Approved the changes requested to the Blueprint as outlined at Appendix A in the Change request form.**

8. FUTURE NORTHANTS PROGRAMME GOVERNANCE

The Transformation Director, West Northamptonshire Shadow Authority, introduced the report and highlighted the salient points:

- It was noted that, in order to move the Future Northants Programme forward, there is a need to differentiate further between the West and North elements. This will allow items specific to either the West or North to be given proper consideration by the relevant authority.
- The scope of activity for Programme Governance is split into three separate areas:
 1. Implementation Tasks for Go Live - tasks and deliverables that end on 31st March 2021;
 2. Implementation of Day One - tasks and deliverables that are implemented as part of ongoing services and design; and
 3. Post Day One Delivery & Transformation Plans – the plans, projects and ongoing transformation that will happen in the Unitary Authorities.
- The revised programme governance contains some elements that are already in existence, such as the West Northamptonshire Shadow Overview & Scrutiny Committee, and the West Shadow Executive.
- The main point of difference relates to the Joint Implementation Executive, which will be buttressed by a specific West Implementation Executive and North Implementation Executive.
- This will ensure that decisions specific to West Northamptonshire are brought through the correct pathway, with more reports expected to take this route in the months leading up to vesting day.
- The Joint Implementation Executive will remain in order to deal with any decisions that may require collaboration between the West and North Shadow Authorities.

- Beneath this will now be a separate West and North Implementation Board, with reports coming through these boards prior to being seen by Members of the Shadow Executive.
- There have been changes to the Programme Board Structure, with Jane Carr acting as Interim Chair of the new West Place Programme Board until a Director of Place is appointed.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

- a) Noted the contents of this report and the appendix; and**
- b) Endorsed the approach being taken.**

9. TIER 1-3 LEADERSHIP STRUCTURE

The Chief Executive, West Northamptonshire Shadow Authority, introduced the report and highlighted the salient points:

- The report details the Senior Leadership structure for West Northamptonshire, an essential component of delivering safe and legal services on day one.
- This structure provides accountability for senior officers and roles, ensuring that statutory duties are delivered effectively.
- The report details the structure of roles at Tier 1-3, utilising feedback from the relevant appointment panels.
- It was noted that all staff affected by changes to the structure have been contacted, along with Trade Unions, which has activated a formal consultation process.
- In addition to the statutory and senior roles already appointed to in section 4.1, two further Tier 2 roles will need to be appointed to - the Executive Director of Place, Economy and Environment and the Executive Director of Corporate Services.
- These roles are subject to Member appointment, with the proposed Member Appointment Panel set out at Appendix 3.

In response to a question, the Chief Executive advised that the estimated cost of the proposed new structure has been costed at c£3.34 million, representing a saving of approximately £1.8 million on current leadership costs.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

- a) Noted and ratified the work undertaken to develop the proposed structure and the subsequent consultation process as specified in Section 4;**
- b) Agreed the proposed leadership structure as per Appendix 1, noting that this is subject to consultation with our recognised Trade Unions and impacted employees, and therefore may result in some revisions being made as a result of the feedback received. Minor changes would be delegated to and actioned by the Head of Paid Service with any significant changes that are made as part of the formal consultation being shared with the Shadow Executive at a future meeting; and**
- c) Noted and ratified the selection and recruitment principles as specified in section 5 & 6, subject to the outcomes of the consultation.**

10. EXTERNAL AUDIT APPOINTMENT ARRANGEMENTS

The Chief Finance Officer, West Northamptonshire Shadow Authority, introduced the report and highlighted the salient points:

- There is a statutory requirement for external auditors to be appointed for West Northamptonshire Council by no later than 31 December in the preceding financial year before vesting day.
- The report sets out three options for these appointments:
 1. To make a stand-alone appointment;
 2. To set up a Joint Auditor Panel/local joint procurement arrangements; or
 3. To opt-in to PSAA auditor appointment process.
- The recommendation is for the Shadow Executive to endorse option 3. It was emphasised that this choice can be altered at a later date if necessary.

Members of the Shadow Executive commented as follows:

- Councillor Adam Brown considered the recommendation correct and noted the opportunity to make representations about the proposed auditors at paragraph 4.7.
- In response to a question, the Chief Finance Officer confirmed that all of the sovereign councils have opted in to the PSAA, who have subsequently appointed the auditors for each authority.
- Councillor Lizzy Bowen questioned whether the choice of potential auditors is limited to the top 4 in the country by the PSAA framework. It was suggested that the current audit situation requires change and the need to keep fees low was stressed.
- The Chief Finance Officer advised of the opportunity to negotiate costs, with the auditors required to consult the PSAA in order to charge additional fees. This approach will have to be followed regardless of the auditor selected.
- Councillor Rebecca Breese inquired about the reputation of the PSAA in defending the interests of its clients, should negotiations be required.
- In response, the Chief Executive, NCC, advised that the PSAA is a new organisation, formed in the previous five years. As such, it is too soon to comment on the organisation's reputation on these matters.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive agreed to “opt in” to the Public Sector Audit Appointments (PSAA) process.

11. HEALTH, SAFETY & WELLBEING POLICY

The Programme Lead, Corporate Programme, Future Northants, introduced the report and highlighted the salient points:

- The report presented to the Shadow Executive represents the “safe” element of safe and legal plus.
- The policy has been designed in consultation with staff across all four sovereign councils, as well as Trade Unions.
- The Programme lead noted that the report sets out the framework for how the following will operate within West Northamptonshire Council. This framework should:
 1. Meet the Council's legal responsibilities;
 2. Outline how the Council will work with Trade Unions and employees to ensure their health, safety and wellbeing; and

3. Highlight issues will be dealt with, and how risks will be managed.
- Councillor Danielle Stone noted that Trade Union colleagues had given positive feedback on the steps taken to form the policy. In addition, Councillor Stone queried how existing policies within the sovereign councils will be managed.
 - In response, the Programme Lead advised that colleagues from each of the sovereign councils are working to develop policies suitable for a new, large organisation. However, it was also noted that the Corporate Programme is seeking to follow best practice, which may lead to existing policies being utilised where appropriate.
 - The Programme Lead also noted that the Dying to Work policy currently in operation at Northampton Borough Council is an example of a policy that will be developed for West Northamptonshire Council.

Members of the Shadow Executive commented as follows:

- Councillor Phil Larratt advised that the Dying to Work policy is under consideration by the Equalities Task & Finish Group, who will be making recommendations going forward.
- Councillor Larratt also suggested that the Health, Safety & Wellbeing policy was sound, but may extend beyond the scope of what is legally required.
- The Programme Lead advised that he considered no part of the policy to be excessive in nature, with the debate and discussion arising from collaborative work between the sovereign councils able to prevent this from occurring.
- Councillor Richard Auger expressed a desire for lessons to be learnt from the approach to the Covid-19 pandemic.
- The Programme Lead noted that the nature of the pandemic has required a fluid response, and agreed that a review will be necessary in order to direct emergency planning policy in the future.
- Councillor Ian McCord noted that certain policies are subject to an annual review, in order to ensure best practice. It was suggested that the Health, Safety & Wellbeing Policy should follow this example, to which the Programme Lead voiced his agreement.
- As a result, Councillor McCord, as Chair of the West Northamptonshire Shadow Executive, proposed an additional recommendation - to review and update the Health, Safety & Wellbeing Policy if necessary in approximately 12 months.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

- a) Approved the Health, Safety & Wellbeing Policy; and**
- b) Agreed to review and update the policy if necessary in approximately 12 months.**

12a. WEST NORTHAMPTONSHIRE LOGO/VISUAL IDENTITY APPROVAL

Councillor Jonathan Nunn introduced the report and highlighted the salient points:

- The principles underlying the design of the new logo were reiterated.
- Following a public survey, the preferred design gathered 576 votes from a total of 1,740.

- Comments from the public survey indicated that the initial logo should contain three rings rather than four, and may have lacked relevance and historic links to the County.
- As a result, the interlocking rings design has been incorporated within the traditional rose emblem of Northamptonshire.
- The colours of the rings have been precisely chosen to reflect the existing colours of the three district councils.
- It was reiterated that in-house designers were utilised for the production of the logo to keep costs low.

Members of the Shadow Executive commented as follows:

- The design of the logo was praised, with due tribute paid to the past through the colours of the existing councils, combined with the interlocking design that suggests unity and progress.
- The Shadow Executive wished to share their thanks to the team involved in creating the logo.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

- a) Approved the final logo design;**
- b) Noted that this design was shaped around the feedback from the online logo survey which went out to staff, Trade Unions, Cllrs, partners and the public; and**
- c) Noted the use of talented in-house staff in the development and iteration of the logo throughout and avoidance of any extra cost to the FN Programme and the taxpayer.**

12b. WEST NORTHAMPTONSHIRE VISUAL IDENTITY/BRANDING

Councillor Jonathan Nunn introduced the report and highlighted the salient points:

- The roll out of West Northamptonshire branding will be split into three distinct categories.
 - Category 1 – Safe and Legal – Day One;
 - Category 2 – Proactive Rebrand – Day Two Onwards; and
 - Category 3 – As and when.
- Category 1 items are those which have an official, statutory or legal status. These items, such as ID badges, are high priority. The report sets out the priorities for this branding process.
- Items which require urgent attention will be financed through the Future Northants Programme budget, whilst those that are less urgent will become BAU, or business as usual, and rebranding will be funded by the services themselves.

Members of the Shadow Executive commented as follows:

- Councillor Phil Larratt noted the importance of establishing West Northamptonshire as an identity and queried whether road signs and major entrances to the area will bear the new logo as a priority.
- In response, Councillor Nunn suggested that establishing West Northamptonshire is important and will likely fall under Category 2.

- Councillor Adam Brown agreed with the importance of establishing an identity for West Northamptonshire, but noted that Northamptonshire will continue to exist as a ceremonial County.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

- Duly noted the contents of the paper which outlined proposals for how the new branding should be implemented, along with the timescales;**
- Granted Delegated Authority to the Transformation Directors and the Corporate Board in consultation with the West Communications and Engagement Task & Finish Group for approval of spend for re-branding critical items for Day One from the FN Communications & Engagement Project re-branding budget;**
- Approved the proposed criteria for implementation of the new branding (including costs, timescales and responsibilities), broken down as follows:**
 - **Category 1 – Safe and Legal – Day One**
 - **Category 2 – Proactive Rebrand – Day Two Onwards**
 - **Category 3 – As and when**
- Clearly agreed that Category 1 items are to be rebranded to be Safe and Legal for Day One;**
- Agreed that if there are non-essential items suggested for Day One rebranding in addition to Category 1 items, e.g. to assist with Cultural Change and Customer Need, that – given budget limitations and prioritisation – these items are also supported with funding from the respective FN workstreams and Programmes; and**
- Approved the principle that items which require proactive rebranding post Day One will become BAU and will be funded by the services themselves.**

13. ASSETS, CAPITAL SCHEMES & RESERVES NOTIFICATION PROCESS

Councillor Lizzy Bowen introduced the report and highlighted the salient points:

- The report contains three papers, two of which were presented to NCC Cabinet, as a result of the fast-moving nature of the project.
- Chester Farm will now be known as Chester House Estate, due to changes to the business plan, which is based on the Chatsworth House model.
- Northamptonshire County Council has a statutory responsibility to maintain the site.
- In response to a question, Councillor Bowen confirmed her belief that the taxpayer would be getting value for money from the updated business plan.
- Councillor Matt Golby offered support to Councillor Bowen and the project and noted the positive work that has been put towards it.

The Chief Executive, NCC, advised that significant progress has been made since the adoption of the project. The Chief Executive advised that a major part of the investment into the site has already been made. It was also noted that despite being located within the North Northamptonshire Authority, investment into the site has been county-wide, and the profits, which are expected to be derived soon, will be shared on this basis.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive, in accordance with the adopted Assets, Capital Schemes and Reserves Notification Process:

a) **Endorsed the decision of the sovereign Authority, NCC, to:**

- **Endorse the updated Business plan for Chester House Estate (formally Chester Farm) and acknowledge the progress made over the last 6 months;**
- **Support the proposed media launch (date to be determined) post lifting of national restrictions;**
- **Approve the proposal to uplift the budget by £850k for the bond funding which is required in order to complete the capital works as indicated in the December 2019 cabinet report;**
- **Approve the uplift of the capital budget by £722k in respect of the Heritage Lottery Grant Funding previously assigned to revenue for project management and other fees which will now be capitalised; and**
- **Approve the further uplift of the capital budget by £700k in anticipation of a further Heritage Lottery Grant.**

URGENT ITEMS:

There were none.

EXEMPT ITEMS:

There were none.

There being no further business, the meeting ended at 20:01.

WEST NORTHAMPTONSHIRE SHADOW AUTHORITY

SHADOW EXECUTIVE MEETING

5th January 2021

Report Title	Director of Transformation's Programme Update
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1. Purpose

- 1.1 The purpose of this report is to appraise the members of the progress being made to create West Northamptonshire Council.

2. Recommendations

It is recommended that the shadow executive:

- a) Notes the high level programme delivery status
- b) Notes the update on change readiness.
- c) Notes the communication and engagement update
- d) Notes and approves the finance monitoring report.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The approach to setting up West Northamptonshire Council is at a point where the blueprint for the council has been adopted and the consultation phase continues with staff and through the trade unions.
- 3.1.2 A reporting methodology has been established to track progress in more detail against the 'critical path' timeline at a unitary wide level and also at a service specific level in order to track service readiness and to be able to report at a West only level as well as a programme wide level where interdependencies and dependencies are paramount.
- 3.1.3 The finance monitoring report for December is submitted for approval and the attached report sets out the details for consideration by the Executive.

3.1.4 There is also an update on communications and engagement and change management and the wider impact of actions.

3.2 Issues and Choices

3.2.1 The blueprint for West Northamptonshire Council will continue to be refined and improved over the coming months and will inform the post vesting day activities and priorities. Future changes to the Blueprint are now covered by formal change control mechanisms and will be reported to the executive as appropriate.

4. Implications (including financial implications)

4.1 Policy

4.1.1 The delivery costs and benefits are set out in detail in the Finance Monitoring Report attached. There is no requirement to provide additional funds and this situation will be carefully monitored on a monthly basis.

4.2 Resources and Risk

4.2.1 The full extent of the impact of the pandemic is still emerging and currently we are seeing a potential further outbreak. The programme has been reorganised to mitigate this as much as possible but it will be necessary to monitor the situation carefully to ensure the resources needed from the sovereign councils are available throughout the current implementation phase of the programme.

4.3 Legal

4.3.1 No implications in this report

4.4 Equality and Health

4.4.1 No implications in this report

Report Author: Jane Carr, Director of Transformation, WNC

West Northamptonshire
SHADOW AUTHORITY



Director of Transformation Update

December 2020

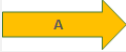
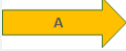
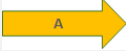
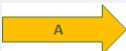


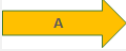
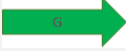
Contents

- 1) Programme Status Summary
- 2) Programme Notes
- 3) Change Management
- 4) Communication and Engagement
- 5) Finance Report – Audra Statham



Programme Status Summary

As at 30th November 2020

Programme	Programme Lead	Status	Commentary	Estimated direction of travel for next period
Place North	Martin Hammond	A	Risks around resources for Housing work as SMEs are also working on BAU and COVID.	
Place West	Jane Carr	A	Risks around Trading Standards move out of Wootton Hall after disaggregation and risk of increased associated costs.	
Finance	Barry Scarr	A	Risks around resources for configuration work before Vesting Day and closedown work after.	
Corporate	Martin Cox	A	TU negotiations remain high risk, along with some risks around ERP, SLAs and GDPR issues. Considerable mitigation work has taken place where possible this month.	
Children's	Cathi Hadley	A	Issues around recruiting to new split functions remain but are mitigated by a new proposed Day 1 structure. Work is ongoing for agreeing support service dependencies with the Trust.	
Adults	Anna Earnshaw	G	Some issues around splitting Eclipse and Cygnum into N and W with appropriate IG but team is working well with suppliers to resolve these issues in good time, with suitable mitigation plans in place if needed.	
ICT	Richard Ellis	A	Risks emerging around Data Sharing Agreements and around NCC's ability to roll out MS365 due to legacy NCloud issues. Mitigation underway with NCloud healthcheck and a programme of hardware upgrades across the estate.	
Customer Contact/ Digital	Richard Ellis	G	Minor risks articulated but under control. Mainly around SME resources needed for implementation of new brands and content approaching Vesting Day	

Programme Update

Programme Board Governance – The changes proposed to the governance structure were adopted at the November Shadow West and North Executives. Following this further work has been undertaken to review and propose how we report on the overall RAG status. A new dashboard has been created to take to the North and West specific meetings.

Programme Management – The programme has been realigned and a matrix management put in place to manage the programme leads. Further work is still needed to assess what additional resource may be needed in the new year as the delivery workload increases in the final 3 months up to vesting day.

There is also a need to start the work on setting out the resource that will be needed post vesting day to complete the stabilisation work.

Transformation Team North & West

The 2 Directors of Transformation are in the process of designing and developing a new structure for each unitary authority to deliver transformation aspirations post vesting day to include,

- stabilisation
- aggregation of services
- hosted to disaggregation, North West and vice versa

Change Managers' Update

December 20



Outputs

↳ ... create Outcomes

↳ ... which have Impact

Change manager action	Impact achieved
CM facilitated BBC Radio Northampton interview about community hubs https://www.bbc.co.uk/sounds/play/p08wjwyb	Achieved wider awareness of the positive transformation in Northamptonshire Adult social care through the media to citizens, partners members and local government workforce.
Wrote article for NHCP Newsletter to keep Health Partners updated on new ways of working in Adult Social Care https://northamptonshirehcp.co.uk/wp-content/uploads/2020/11/NHCP-Newsletter-November-2020-FINAL.pdf	Increased awareness of the changes to ways of working which provided opportunities for new conversations to take place which has strengthened the trust between partners.
Facilitated Change Champions feed back on new ways of working to Acting Director Adult Social Care	Change Champions had a platform with their Acting Director giving them a new forum to engage in 2-way dialogue with their senior leader.
Gathered information and completed case studies to highlight the positive results of the new way of working in Adult social care	Demonstrated best practice and insight into the power of positive change in a relatable environment to encourage fellow change champions to embrace and adopt the changes.
CM retained and recruited Eclipse Super Users and co-ordinated training activity. This commenced 23 rd November	Retaining super users from CareFirst to Eclipse has strengthened colleagues knowledge, skills and confidence for the smooth transition to Eclipse. Super users feel valued and invested in.
Engaged Trading Standards colleagues to understand how they will manage disaggregation to manage the impact of the change.	Colleagues going through disaggregation felt listened to and supported. Improved awareness and perception of the change and provided a feedback loop back into the programme.
Supported the move to MS365 via Change Champions, providing essential information and FAQs.	Users felt informed, assured and confident about the change with a trusted single point of contact for support if required. Successfully moved 7.5 million emails, 786 personal inboxes, 293 shared email inboxes. Respond and adapt quickly to circumstances to realise the benefits of change.
Supported the collation and publication of North Engine Room content, set up a storyboard and arranged filming for the virtual engine room tour.	Prepared colleague and member content for the North unitary authority to ensure a succinct and consistent level of information and understanding about the FN programme and give a foundation for the vision and culture of North Northants.

Change Champion Activity



- Workstream specific 'check-in and chat' activities continuing
- Winter series of Gearing up for Change workshops with Transformation Directors – sessions commence 30th November
- Live Q&A with Strategic Delivery Director undertaken with c.125 champions
- A change charter tool has been created to help teams become change ready and maximise engagement. Change champions will pilot this
- Naming convention protocols shared with champions to embed within teams and identify challenges to adoption
- North and West workshops with ICT and customer contact and digital change champions to familiarise with systems, improve understanding and gain buy in (Teams, Eclipse, Capita and ERP)

You said – We did!



You said: manager engagement (below Tier 3) could be improved, increased focus on move to unitary

We did: a managers' toolkit and change management framework is in development and the upcoming change champion workshops will equip them to engage managers

You said: the impact of Tier 1-3 consultation activities may lead to disengagement

We did: further analysis and engagement with HR required to assess potential impact. Create support mechanisms

You said: loss of subject matter expert knowledge associated with the outcome of Tiers 1-3 consultation activities could adversely impact delivery timelines

We did: greater understanding of the support available to this group needed. Change Managers to link in with HR and seek further clarity around other opportunities to retain colleagues

You said: lack of clarity around operational aspects of hosted services is causing concern among the workforce

We did: collaborate with Comms to improve communications around working assumptions and principles of hosting. Change managers can support creation of messaging and distribution via change champions

Communications and engagement

Recent activity

- Publishing and promoting new authority logos – all audiences
- All-staff comms on future council structures
- Support for MS 365 roll out
- Shadow Execs' approval of Day One rebranding priorities
- Developing and delivering comms plans for budget consultations
- Working on videos with Anna and Rob
- Implementation focuses:
 - Working with change managers around comms and engagement approaches
 - Showcasing transformation – Adults hubs coverage
 - Scoping Day One Readiness campaign

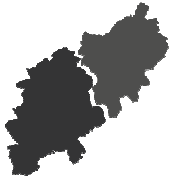
Next steps

- Developing a one-stop-shop online hub for FN info and updates
- Designing programme and comms plan-on-a-page/timeline visual
- Support for the Housing Allocation consultation launches
- Ongoing support for Day One branding decision-making process
- Ongoing support for development of vision / values
- Ongoing support for North and West leadership
- Development of Day One Readiness campaign (100 Days to go – 22nd December)

Finance Report Summary

Audra Statham





Document Type	Information Report
Programme	Future Northants
Title	Future Northants Finance Monitoring Report
Audience for this document	
Joint Implementation Board, Joint Implementation Executive, North Northamptonshire Shadow Executive and West Northamptonshire Shadow Executive	
Purpose of this document	
The purpose of this report is to provide a summary of the forecast outturn position of the Future Northants Programme.	

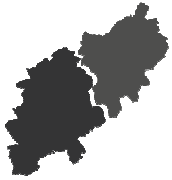
Document Control

Version History (please see version control guidance)			
Date	Version	Author	Brief Comments on Changes
27/05/2020	1.0	Audra Satham	Updated LGR and Transformation Budget Changes
13/07/2020	1.0	Audra Satham	Outturn Report
29/10/2020	1.0	Audra Satham	Outturn Report

Distribution (For Information, Review or Approval)	
Name	Resp⁽¹⁾

(1)Responsibility: I=Information, R=Review, A=Approval

Document Approval	
Date	Who



The majority of investments cost projections are in line with the original budget. Recruitment to the statutory positions is now complete and due to the various start dates has produced a favourable variance of £0.190m. If needed in future this can be used to supplement the contingency budget.

There is currently overspend projected on recruitment of £140k. The original recruitment budget of £160k covered the costs for the statutory appointments only. Whilst the statutory positions have now been filled, work continues at pace to fill key director positions, including appropriate media campaigns to attract the best candidates. It is therefore proposed to vire £140k from the contingency budget to cover these additional costs.

Benefits Realisation

An analysis of the impact of the current health crisis on the realisation of financial benefits is undertaken regularly on each of the Business Rates Retention Pilot schemes and NCC savings. This remains a fast moving, dynamic period of time and there are a number of assumptions in the analysis that will require ongoing review as the country enters into another lockdown period, which will be challenging in the lead up to setting budgets for the two unitary councils.

The variances reported above relate to a declining position in the following areas:-

Business Rates Retention projects:

BRR04 – CFN Improving Fostering

Further slippage due to the impact of Covid-19 on activities to recruit in house specialist foster carers thereby reducing external placement costs. The service has been successful in recruiting 2 foster carers with 5 more in the pipeline.

BRR06 – CFN Practice Improvement

Further slippage in delivery due to the prioritisation of the services response to the Covid-19 pandemic. The service expects to recruit to the Edge of Care service shortly and expects this to be fully operational by the end of the calendar year.

NCC Transformation

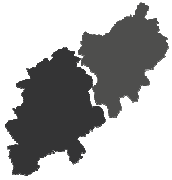
Adults –

Shaw PFI Programme

The reduction of saving has been aligned to the new contract variation date (December) Prior reporting was based on expectation of an earlier sign off. Full year savings will be achieved in 21-22

Mental Health Review

The Mental Health review was going to generate savings by reviewing existing clients, and whether the level of services they were receiving matched their eligible needs. However, in the current year the service have been unable to do these reviews due to more urgent cases coming through and the level of need coming through being higher (More acute/complex needs)



Revised Financial Forecast

There remains considerable financial risk to the above outturn position, which may change on a regular basis depending on the recovery of the economy and the increasing outbreaks of Covid-19.

It is important to note that of the total £84.448m savings, £34.907m has already been delivered in 2019/20 and we are on track to deliver £13,472m during 2020/21. This will leave £36,069m to be delivered beyond vesting day.

3. Conclusion

Overall we are on track to deliver local government reform and transformation within budget, despite the very challenging environment in which we are operating. Risk remains high but by the end of 2020/21 a total of approximately £50m worth of savings will have been delivered.

Future Northants Revised Benefits Realisation

Staff Costs	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
Staff Costs	3,047	5,697	8,301	17,045

Other Programme Costs	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
Resource - backfill	133	553		686
Legal advice		400		400
Restructuring costs			7,900	7,900
Shadow statutory appointments		832		832
Shadow member appointments		60		60
Recruitment to senior appointments		160		160
Branding & signage		500		500
National pay and conditions		250	500	750
Programme delivery contingency		2,193		2,193
LGR pre submission costs (May-Aug 2018)	148			148
LGR pre submission costs (Sept 18 - Aug 19)	1,109			1,109
Total other Programme Costs	1,390	4,948	8,400	14,738

Year End Outturn Projection	Variance Under/(Over)
2020/21	2020/21
£000	£000
5,697	0

553	0
400	0
0	0
642	190
60	0
300	-140
500	0
250	0
2,053	140
0	0
0	0
0	0
4,758	190

Business Rates Retention	Investment			
	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
BRR04 - CFN Improving Fostering	16	120	334	470
BRR06 - CFN Practice Improvement	482	185	128	795
BRR08 - Adults Review Task Force Team	388	12	0	400
BRR09 - Adults Review of Target Operating Model	400	0	0	400
BRR10 - Strategic Infrastructure - Growth and Infrastructure Plan	27	223	0	250
BRR18 - Customer Contact - Customer and Digital Strategy	0	1,900	3,750	5,650
BRR20 - Shared Service Redesign	43	4,057	0	4,100
BRR21 - Corporate Contracts Review	0	250	0	250
BRR26 - CFN Workforce Programme	539	196	0	735
BRR45 - Adults Overnight Carers Scheme	350	0	0	350
BRR46 - Adults Rapid Response Team	291	859	450	1,600
Unallocated funds	0	0	0	0
Total Business Rates	2,536	7,802	4,662	15,000

Savings			
2019/20	2020/21	2021/24	Total
£000	£000	£000	£000
0	281	2,019	2,300
0	294	2,106	2,400
1,000	0	0	1,000
0	815	13,185	14,000
0	0	60	60
0	0	3,000	3,000
0	0	2,500	2,500
0	0	500	500
0	138	1,262	1,400
626	0	0	626
0	718	8,115	8,833
0	0	0	0
1,626	2,246	32,747	36,619

Year End Outturn Projection	Under/(Over) delivery
2020/21	2020/21
£000	£000
277	4
90	204
0	
1,085	-270
0	
0	
0	
0	138
0	
0	718
0	
1,452	794

NCC Transformation	Investment (includes expenditure funded by FUCR)			
	2019/20	2020/21	2021/24	Total
	£000	£000	£000	£000
Adults	1,204	4,250	0	5,454
Childrens	92	0	0	92
Corporate Services	977	0	0	977
Place	0	0	0	0
LGSS	0	0	0	0
Total NCC Transformation	2,273	4,250	0	6,523

Savings			
2019/20	2020/21	2021/24	Total
£000	£000	£000	£000
22,975	7,130	-3,713	26,392
4,086	1,636	2,730	8,452
3,740	258	500	4,498
2,480	2,241	2,796	7,517
0	970	0	970
			0
33,281	12,235	2,313	47,829

Year End Outturn Projection	Under/(Over) delivery
2020/21	2020/21
£000	£000
5,587	1,543
866	770
1,093	-835
3,504	-1,263
970	0
12,020	215

Total 9,246 22,697 21,363 53,306

34,907 14,481 35,060 84,448 Total

13,472

819

WEST NORTHAMPTONSHIRE SHADOW EXECUTIVE

5th January 2021

Report Title	Change Request(s)
Report Author	Director of Transformation
Future Northants Programme	Adults Corporate Place Children's
Future Northants Programme Lead	Anna Earnshaw Martin Cox Jane Carr Cathi Hadley
Date of final endorsement by Joint Implementation Board	2nd December 2020
Date of final endorsement by Joint Implementation Executive	9th December 2020

List of Appendices

Appendix A – Change Requests that affect the Blueprints:

- A1: Adults – Learning, Independence, Volunteering and Supported Employment**
- A2: Adults – Employment and Disability Service**
- A3: Adults – Shared Lives**
- A4: Adults – Visual Impairment**
- A5: Adults – Assistive Technology**
- A6: Adults – Approved Mental Health Professional & Deprivation of Liberty Safeguards**
- A7: Adults – Personal Budget Support Services**
- A8: Corporate – HR Traded Services**
- A9: Place – Highways Adoption Team and S106**
- A10: Place – Highways Community Liaison**
- A11: Children's – Information Advice and Support Service**

1. Purpose of Report

- 1.1. To set out and approve Change Requests relating to the Future Northants programme.

2. Executive Summary

2.1 This process will

- 1) ensure a clear governance and recording process and,
- 2) propose changes that amend the Blueprint, outlined in Appendix A

Recommendations

2.2 It is recommended that the Shadow Executive Committee:

- a) Approve the changes requested to the Blueprint as outlined at Appendix A

(Reason for Recommendations – to ensure a robust change management and recording process for the Blueprint for the new unitary authorities).

3. Report Background

3.1 This process has been agreed to ensure a clear governance and recording process for any changes to be made to the Blueprint or to other aspects of the programme.

3.2 This report includes proposed changes for approval, in line with the agreed process.

4. Issues and Choices

4.1 The Blueprint was approved by the West Northants Shadow Executive on 22nd September and the North Northants Shadow Executive on 24th September. The Blueprint is the key document that shows how the functions and services provided by all the constituent authorities will be placed across the two new North & West Unitary authorities.

5. Implications (including financial implications)

5.1 Resources and Financial

There are no resources or financial implications arising from the proposals.

5.2 Legal

There are no legal implications arising from the proposals.

5.3 Risk

5.3.1 There are no significant risks arising from the proposed recommendations in this report.

5.3.2 The changes proposed to the Blueprint re designed to mitigate risks in ensuring services are safe and legal for Day 1.

5.4 Consultation

5.4.1 The change process does not require consultation.

5.5 Consideration by Overview and Scrutiny

5.5.1 Consideration is welcome as requested by the Overview and Scrutiny committee.

5.6 Climate Impact

5.6.1 None related to the change process outlined in this report

5.7 Community Impact

5.7.1 None related to the change process outlined in this report

6. Background Papers

6.1 Blueprint for each of North and West Northants Shadow Authorities.

6.2 Agreed process for managing change requests as agreed by West Northants Shadow Executive on 24th November and by North Northants Shadow Executive on 26th November.



Change Request Form

Document Type	Change Request - Learning, Independence, Volunteering and Supported Employment (LIVE)
Programme Name:	Adult Social Care Transformation and Future Northants
Audience for this document	
Joint Implementation Board, Joint Implementation Executive and Shadow Executives	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders.	

Version History			
Date	Version	Author	Brief Comments on Changes
16.10.2020	1	Sarah Ansell	LIVE to be hosted for a year in the North
12.11.2020	2	Martyn Cockram	Updated document

Distribution (For Information, Review or Approval)	
Name	Resp (1)
NASS transformation team, NASS DMT	R
ASC transformation board, JIB, JIE, Shadow Executives	A
Day 1 Future Northants Programme Manager	A
ASC Transformation and FN Programme Lead	I

(1) Responsibility: R=Review, A=Approval, I=Information



Document Approval	
Date	Who
16/11/20	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Currently, as a part of Adults Provider Services, the service is highlighted as disaggregating. However, as outlined in the following section, LIVE will remain as one Lead Team within one unitary authority, delivering learning, independence, volunteering and employment outcomes across both authorities and alongside / tethered to EADS.

The proposal is to maintain LIVE as a Lead Team in one unitary authority. LIVE as a Lead Team can exist in either unitary authority alongside and tethered to EADS. Both EADS and LIVE combined can exist in either unitary authority.

Area	Description
Staffing	It was assumed that LIVE would be disaggregated on 01/04/2021
Processes	It was assumed that the teams would be split in to North and West unitary and would not have a seamless link to EADS to work on key skills for employment
Locations	Locations to remain as: Drovers Hall – Kettering, St Marks – Corby, Riverside – Towcester, The Cottage – Northampton and Harrowden Road – Wellingborough.
Systems	It was assumed the LIVE team would use Eclipse & cygnum.

2. Purpose of Request

LIVE is under the same management structure as EADS and are part of the same customer pathway. LIVE has the potential to gain external funding and deliver DWP / ESF contracts alongside EADS and develop / deliver quality supported employment and associated outcomes to adults with complex learning and physical disabilities across the county. The delivery and potential of LIVE is only enhanced by its partnership working with EADS and EADS must be hosted for up to 12 months to

protect existing and future contracts. LIVE achieves enabling outcomes, significantly reduces customer service need and associated care packages. Preventative costs will be maximised by tethering the service to EADS. The costs of splitting LIVE away from EADS would be significant and would potentially lead to poorer outcomes and increased social care costs.

3. Likely Impact of Requested Change

<i>Area</i>	<i>Key impacts of Change</i>
Staffing	It was assumed that all staff would be employed by one unitary authority.
Processes	It was assumed that all staff employed in one unitary authority would undertake the delivery of learning, independence, volunteering and supported employment (LIVE) on behalf of both authorities.
Locations	Locations to remain as: Drovers Hall – Kettering, St Marks – Corby, Riverside – Towcester, The Cottage – Northampton and Harrowden Road – Wellingborough.
Systems	It was assumed the LIVE team would use Eclipse.

If LIVE is hosted within one unitary authority, there are no associated risks or change to staff or current service delivery.

4. Impact of *not* implementing Requested Change

If LIVE becomes a split or hosted team as a wider part of day opportunities, the dilution of service and strategy will significantly impact on outcomes, service savings, funding potential and (external) contractual opportunities.

5. Additional costs of implementing Requested Change

Capital Costs	
Revenue Costs	
Benefit Costs	



6. Additional Benefits



Change Request Form

Document Type	Change Request Form - Employment and Disability Service (EADS)
Programme Name:	Adult Social Care Transformation and Future Northants
Audience for this document	
Joint Implementation Board and Joint Implementation Executive and Shadow Executives	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders.	

Version History			
Date	Version	Author	Brief Comments on Changes
16.10.2020	1	Sarah Ansell	EADS to exist as a Lead Team within one unitary authority
12.11.2020	2	Martyn Cockram	Updated document

Distribution (For Information, Review or Approval)	
Name	Resp (1)
NASS transformation team, NASS DMT	R
ASC transformation board, JIB,JIE, Shadow Executives	A
Day 1 Future Northants Programme Manager	A
ASC Transformation and FN Programme Lead	I

(1) Responsibility: R=Review, A=Approval, I=Information



Document Approval	
Date	Who
16/11/20	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Currently, as a part of Adults Provider Services, the service is highlighted as disaggregating. However, as outlined in the following section, EADS will be hosted in the north for up to 12 months.

The proposal is to maintain EADS as a Lead Team in one unitary authority. EADS as a Lead Team can exist in either unitary authority.

Area	Key impacts of Change
Staffing	It was assumed that all staff would be employed by the North unitary authority
Processes	It was assumed that all staff employed in one unitary authority would undertake the delivery of supported employment on behalf of both authorities
Locations	The main team base is in the north and this would remain the same
Systems	In terms of EADS contractual delivery, the team will continue to use external systems.

2. Purpose of Request

EADS (employment and disability service) has a sub contract to provide employment support under the DWP Employment and health programme and is 100% externally funded by DWP. It is not possible to split this contract so therefore needs to be hosted for a year. The team deliver support across Northamptonshire. During the 12 months the initial contract phase comes to an end and it



will give both unitary councils the opportunity to explore what they want to do in relation to extension, future procurement and delivery.

3. Likely Impact of Requested Change

<i>Area</i>	<i>Key impacts of Change</i>
<i>Staffing</i>	It was assumed that all staff would be employed by the North unitary authority
<i>Processes</i>	It was assumed that all staff employed in one unitary authority would undertake the delivery of supported employment on behalf of both authorities
<i>Locations</i>	The main team base is in the north and this would remain the same
<i>Systems</i>	In terms of EADS contractual delivery, the team will continue to use external systems.

If EADS exists as one Lead Team within one authority, there are no associated risks or change to staff or current service delivery.

4. Impact of *not* implementing Requested Change

If EADS exists as a split or hosted team the current Work and Health Programme will be in jeopardy and a £3.6m contract (over a 5-year period) will be compromised as will future contractual gains and the future and stability of the team as a whole.

5. Additional costs of implementing Requested Change

Capital Costs	
Revenue Costs	
Benefit Costs	

6. Additional Benefits



Change Request Form

Document Type	Change Request Form – Shared Lives
Programme Name:	Adult Social Care Transformation and Future Northants
Audience for this document	
Joint Implmentation Board and Joint Implementation Executive and Shadow Executives	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders.	

Version History			
Date	Version	Author	Brief Comments on Changes
16.10.20	1	Sarah Ansell	Shared Lives remains as countywide service hosted by West Unitary for 12 months
12.11.2020	2	Martyn Cockram	Updated document

Distribution (For Information, Review or Approval)	
Name	Resp (1)
NASS transformation team, NASS DMT	R
ASC transformation board, JIB, JIE, Shadow Executives	A
Day 1 Future Northants Programme Manager	A
ASC Transformation and FN Programme Lead	I

(1) Responsibility: R=Review, A=Approval, I=Information



Document Approval	
Date	Who
16/11/20	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Currently, as a part of Adults Provider Services, the service is highlighted as disaggregating. However, as outlined in the following section, The Shared Lives Service would be hosted in the West for 12 months offering support long term and respite across the County following approval.

In House Provider Services Shared Lives is currently identified in blueprint as being disaggregated on 01/04/2021

Area	Description
Staffing	It was assumed that Shared lives service would be disaggregated on 01/04/2021
Processes	It was assumed that another service would be created in the North Unitary which would require a base identified and registered with CQC and additional cost to create a team
Locations	Team has registered office in the West however a location would need to be identified in North and then registered with CQC
Systems	It was assumed that the team would use Cygnum and Eclipse

2. Purpose of Request



- The team is small offering support to 87 customers Countywide on a long & short term basis across the county.
- The current staff budget is under 250k per annum and majority of carers and customers are based in West.
- There is a slow uptake on finding suitable carers to join the scheme
- Opportunity within the 12 months to explore the services long term future and transformation opportunities.
- To disaggregate at this point would result in a loss of economies of scale, therefore, requiring significant staff cost investment to remain sustainable.

3. Likely Impact of Requested Change

<i>Area</i>	<i>Key impacts of Change</i>
Staffing	It is assumed that all staff in the west would continue to undertake the functions of Shared lives service on behalf of both authorities based at their registered office in West
Processes	No change to current process
Locations	West unitary as office based and registered within Eleanor lodge Majority of long term customers live in West
Systems	Cygnum and Eclipse

4. Impact of *not* implementing Requested Change

To disaggregate at this point would result in a loss of economies of scale, therefore, requiring significant staff cost investment to remain sustainable.

5. Additional costs of implementing Requested Change

Capital Costs	
Revenue Costs	
Benefit Costs	

6. Additional Benefits



FUTURE
NORTHANTS





Change Request Form

Document Type	Change Request Form – Visual Impairment Service
Programme Name:	Adult Social Care Transformation and Future Northants
Audience for this document	
Joint Implementation Board, Joint Implementation Executive and Shadow Executives	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders.	

Version History			
Date	Version	Author	Brief Comments on Changes
16/10/20	1	Stephen Campbell	Remain as countywide service hosted by West Unitary.
12/11/20	2	Martyn Cockram	Updated document

Distribution (For Information, Review or Approval)	
Name	Resp (1)
NASS transformation team, NASS DMT	R
ASC transformation Board, JIB, JIE, Shadow Executives	A
Day 1 Future Northants Programme Manager	A
ASC Transformation and FN Programme Lead	I

(1) Responsibility: R=Review, A=Approval, I=Information



Document Approval	
Date	Who
16/11/20	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Currently, as a part of Adults Provider Services, the service is highlighted as disaggregating. However, as outlined in the following section, The Visual Impairment Service for adults to be hosted by the West for one year or more.

Area	Description
Staffing	It was assumed that all staff would be employed by the North & West
Processes	It was assumed that all staff in both the North & West would undertake the work.
Locations	It was assumed that all staff would stay located in Saunders Close, Kettering & Chedworth Close, Northampton.
Systems	It was assumed that all staff would continue to use the computer systems they currently use.

2. Purpose of Request

The service to be hosted by the West for one year or more whilst work is undertaken to increase the size of the team (currently only two members with one senior and one junior member who is very inexperienced) as it cannot be split in its current format as it would not be safe. The current staffing had to be trained as there were not trained staff to undertake the roles available in the labour market. Basic training is 2 years' university course. Time is needed to increase the team through recruitment or training.

3. Likely Impact of Requested Change



Area	Key impacts of Change
Staffing	All staff would be employed by the West
Processes	No Impact. All Visual Impairment staff within the service in the west would undertake the work on behalf of both authorities. No change to service delivery.
Locations	No impact. All Visual Impairment staff would continue to use locations in Saunders Close, Kettering (perching) & Chedworth Close, Northampton (perching) & Gatehouse (Towercester) to support their countywide mobile working.
Systems	No Impact. All visual Impairment staff would continue to use the computer systems they currently use.

4. Impact of *not* implementing Requested Change

5. Additional costs of implementing Requested Change

Capital Costs	
Revenue Costs	
Benefit Costs	

6. Additional Benefits



Change Request Form

Document Type	Change Request Form – Assistive Technology Service
Programme Name:	Adult Social Care Transformation and Future Northants
Audience for this document	
Joint Implementation Board, Joint Implementation Executive and Shadow Executives	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders.	

Version History			
Date	Version	Author	Brief Comments on Changes
16.10.2020	1	Stephen Campbell	Remains a countywide service hosted by West Unitary.
12.11.2020	2	Martyn Cockram	Updated document

Distribution (For Information, Review or Approval)	
Name	Resp (1)
NASS transformation team, NASS DMT	R
Future Northants Programme	I
ASC transformation board, JIB, JIE, Shadow Executives	A
Day 1 Future Northants Programme Manager	A
ASC Transformation and FN Programme Lead	I

(1) Responsibility: R=Review, A=Approval, I=Information



Document Approval

Date	Who
16/11/20	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Currently, as a part of Adults Provider Services, the service is highlighted as disaggregating. However, as outlined in the following section, the assistive technology service is to be hosted by the West for one year.

<i>Area</i>	<i>Description</i>
<i>Staffing</i>	It was assumed that Assitive Technology Service would be disaggregated on 01/04/2021.
<i>Processes</i>	It was assumed that all staff in both the North & West would undertake the work.
<i>Locations</i>	It was assumed that all staff would stay located in Saunders Close, Kettering & Chedworth Close, Northampton.
<i>Systems</i>	It was assumed that all staff would continue to use the computer systems they currently use.

2. Purpose of Request

The service to be hosted by the West for one year whilst work is undertaken to understand and bring together all of the existing electronic assistive technology services with all their differences and various contracts and ways of working to ensure the service continues to deliver safely and legally in an efficient and cohesive way. The electronic assistive technology service in NASS is very different to all others.

This complies with the principle of safe and legal as there is a significant amount of transformation to do in conjunction with district and borough services to ensure a sustainable and effective assistive technology service for both councils in the future.



3. Likely Impact of Requested Change

<i>Area</i>	<i>Key impacts of Change</i>
<i>Staffing</i>	It was assumed that
<i>Processes</i>	No Impact. All assistive technology staff within the service in the west would undertake the work on behalf of both authorities. No change to service delivery.
<i>Locations</i>	No impact. All assistive technology staff would stay located in Saunders Close, Kettering (perching) & Chedworth Close, Northampton.
<i>Systems</i>	No Impact. All assistive technology staff would continue to use the computer systems they currently use.

4. Impact of *not* implementing Requested Change

5. Additional costs of implementing Requested Change

Capital Costs	
Revenue Costs	
Benefit Costs	

6. Additional Benefits



Change Request Form

Document Type	Change Request Form – Approved Mental Health Professional & Deprivation of Liberty Safeguards
Programme Name:	Adult Social Care Transformation and Future Northants
Audience for this document	
Joint Implementation Board, Joint Implementation Executive and Shadow Executives	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders.	

Version History			
Date	Version	Author	Brief Comments on Changes
21/10/20	1.0	Amy Brock	AMHP and DoLs Teams hosted in North Authority > 12 months
16/11/20	2.0	Martyn Cockram	Updated document
17/11/20	3.0	Martyn Cockram	Updated document following conversation with Day 1 Programme Manager

Distribution (For Information, Review or Approval)	
Name	Resp (1)
Amy Brock	R
Jane Bowen – Lead Principal Social Worker	I
NASS transformation board	A
Day 1 Future Northants Programme Manager	A



Martyn Cockram ASC Transformation and FN Programme Lead	I
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(1) Responsibility: R=Review, A=Approval, I=Information

Document Approval	
Date	Who
25/11/20	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Approved Mental Health Professional (AMPH) and Deprivation of Liberty Safeguards (DoLs) teams sit within Safeguarding in the overarching blueprint.

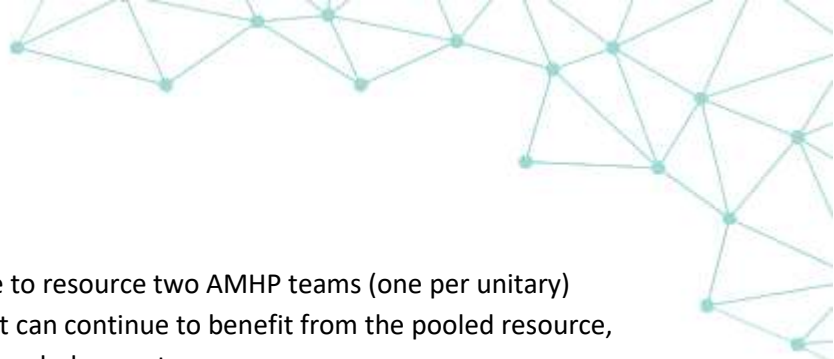
The Blueprints currently have Adults Safeguarding as Hosted < 12 months provided by North.

However, another Change Request is currently in progress that requests Adults Safeguarding be changed to Disaggregated. This Change Request to Disaggregate was endorsed by JIB on 4th Nov 20 and JIE on 11th Nov and is due to be presented for approval at Shadow Authorities w/c 23rd Nov 20.

That the AMHP and DoLs teams are hosted in the North Authority for more than 12 months

Area	Description
Staffing	<i>It was assumed that all staff would be employed by one of the authorities</i>
Processes	<i>it was assumed that all staff in the teams would undertake the work to support people on behalf of both authorities</i>

2. Purpose of Request



There is not currently sufficient AMHPs in place to resource two AMHP teams (one per unitary) hence the proposal that the team is hosted so it can continue to benefit from the pooled resource, to maintain the service level required across the whole county.

At present the AMHP team works closely with Mental health professionals within Northamptonshire Health Foundation Trust (NHFT). The current plan is that the two services are co-located and share a base at NHFT’s current location in Rushden. This will also enable the service to continue to explore NHFT providing non substantive AMHPs to support the team, which will improve capacity within the team. As Rushden is based in the North it is logical that the team is hosted by the North.

Likewise, there is not currently sufficient Best Interest Assessors (BIA) employed by NCC to resource two DoLs teams (one per unitary) hence the proposal that the team is hosted, so it can continue to benefit from the pooled resource to maintain the service level required across the whole county.

The DoLs team is currently based alongside the AMHP team and between them they share business support resource. In addition, a number of the staff within the AMHP team are also qualified BIAs so support the DoLs team and visa versa. By hosting the teams in separate authorities these links will be harder to maintain and will make the processes involved more complicated. It is therefore proposed that initially the teams are hosted together in the North. Longer term it is recommended that further options are explored in light of the changes to DoLs and the out of hour AMHP service.

3. Likely Impact of Requested Change

<i>Area</i>	<i>Key impacts of Change</i>
<i>Staffing</i>	Staff in both teams will remain in current teams and continue to provide a countywide service.
<i>Processes</i>	No change
<i>Locations</i>	The AMHP team was planning on moving to Rushden regardless, however this would be a change of base location for both teams.
<i>Systems</i>	No change to systems because of this proposal

4. Impact of *not* implementing Requested Change

5. Additional costs of implementing Requested Change



Capital Costs	
Revenue Costs	
Benefit Costs	

6. Additional Benefits



Change Request Form

Document Type	Change Request Form – Personal Budget Support Service
Programme Name:	Adult Social Care Transformation and Future Northants
Audience for this document	
Joint Implementation Board, Joint Implementation Executive and Shadow Executives	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders.	

Version History			
Date	Version	Author	Brief Comments on Changes
12/10/20	1-3	Ashley Leduc	To propose that the Personal Budget Support Service (PBSS) is hosted by the North Authority for longer than 12 months - Provider
16/11/20	4	Martyn Cockram	Document Updated
16/11/20	5	Martyn Cockram	Document Updated after conversation with day 1 Programme Manager
17/11/20	6	Martyn Cockram	Further minor amends following conversation with Day 1 Programme Manager

Distribution (For Information, Review or Approval)	
Name	Resp (1)
Ashley Leduc	R

Katie Brown	A
Day 1 Future Northants Programme Manager	A
Martyn Cockram	I

(1) Responsibility: R=Review, A=Approval, I=Information

Document Approval	
Date	Who
25/11/20	Programme Manager – Day 1 Assurance

1. Description of Requested Change

The existing proposal for PBSS is that it is hosted in the West for less than 12 months. It is proposed that the Personal Budget Support Service would be hosted by the North Unitary authority for more than 12 months and deliver services for the West Authority as well. The service was once an external team that were TUPEed into NCC in 2016, and were previously based in Corby.

Area	Key impacts of Change
Staffing	The staffing numbers can remain the same as is now without significant additional investment.
Processes	The West authority would be able to access the Personal Budget Support Service as normal.
Locations	It is assumed that the team will remain at One Angel Square from vesting day, however, should the staff be required to move to another location in the North, this would be doable as the majority of the staff live in the North.
Systems	While Information Governance needs to be checked, it is assumed that the existing SAGE system would be used as currently is, without the need to separate the data.



2. Purpose of Request

The size of the team is small and is able to manage the holding accounts for approximately 900 vulnerable service users. To disaggregate at this point would result in a loss of economies of scale, therefore, requiring significant staff cost investment to remain sustainable.

This proposal also ensures that there would be a seamless transition into Unitarys from vesting day ensuring that vulnerable service users receive their care. As there are payroll duties attached to this service, it is important that statutory duties continue to be made.

3. Likely Impact of Requested Change

<i>Area</i>	<i>Key impacts of Change</i>
Staffing	The staffing numbers can remain the same as is now without significant additional investment.
Processes	The West authority would be able to access the Personal Budget Support Service as normal.
Locations	It is assumed that the team will remain at One Angel Square from vesting day, however, should the staff be required to move to another location in the North, this would be doable as the majority of the staff live in the North.
Systems	While Information Governance needs to be checked, it is assumed that the existing SAGE system would be used as currently is, without the need to separate the data.

- Communications to customers would need to be very clear as a West Northamptonshire service user may become confused by the North providing the service
- The team would need access to both North and West Eclipse systems to be able to manage work referrals.
- North and West may not agree on future processes or service performance.



4. Impact of *not* implementing Requested Change

The size of the team is small and is able to manage the holding accounts for approximately 900 vulnerable service users. To disaggregate at this point would result in a loss of economies of scale, therefore, requiring significant staff cost investment to remain sustainable.

5. Additional costs of implementing Requested Change

Capital Costs	
Revenue Costs	
Benefit Costs	

6. Additional Benefits



Change Request Form

Document Type	Change Request Form – HR Traded Services
Programme Name:	Corporate Programme
Audience for this document	
Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board	
Purpose of this document	
<p>The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders. The Change Request Form should be used alongside the Change Request Log to track progress (template available).</p> <p>Note: Change Request Forms must have approval from Programme Manager – Day 1 Assurance prior to submission to the Programme Implementation Board.</p>	

Version History			
Date	Version	Author	Brief Comments on Changes
30.10.20	0.1	E Conway	First draft
05.11.20	0.2	E Conway	Amendment re: 21/22 clarity

Distribution (For Information, Review or Approval)	
Name	Resp (1)
Programme Manager – Day 1 Assurance	A
Corporate Programme Board	A

(1) Responsibility: R=Review, A=Approval, I=Information



Document Approval	
Date	Who
	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Within HR advisory (proposed to disaggregate) there is a small cohort of 3 members of staff that provide an HR Advisory Service to 63 schools in the county.

The supported schools are located in the following areas: 40 schools in the West and 23 in the North.

2. Purpose of Request

The request is to add HR Advisory traded service as **hosted** (less than 12 months) with the West being the **provider** of a service and North the receiver, to both the North and West blue prints. A strategic decision can be made by both authorities for 22/23, if this is service they want to continue, however, Schools have already signed up for the 21/22 buy back approach so the authorities need to deliver the service.

3. Likely Impact of Requested Change

This will mean that the team remain as one, and deliver to both authorities under a single management structure so economies of scale will be maintained in the interim.

4. Impact of *not* implementing Requested Change



There may be a diseconomy of scale as additional management will be required, and there may be a capacity issue if 1 member of staff was expected to support 23 schools, where the others had 20 each (as opposed to 21 each).

5. Additional costs of implementing Requested Change

Capital Costs	
Revenue Costs	
Benefit Costs	

6. Additional Benefits

A council may decide to continue to offer the service because there are other advantages it brings rather than just income, in terms of engagement with schools, the bigger picture of driving up improvement etc. However feasibly one council may decide to do it and the other council may choose not to.



Change Request Form

Document Type	Change Request Form – Highways Adoption Team and S106
Programme Name:	Place North and West
Audience for this document	
Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board, Joint Implementation Executive	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders. The Change Request Form should be used alongside the Change Request Log to track progress (template available).	

Version History			
Date	Version	Author	Brief Comments on Changes
24/11/2020	0.01	B.Degruchy	Changes to disaggregation of Highways Adoptions and s106 following deep dive of 23/11
25/11/2000	Final	R.Boulton/I.Achurch	SME input on specific areas
27/11/2020	1.1	S.Hill	Minor amends by Day 1 Programme Manager
02/12/2020	1.2	N.Byrom	Minor amends following JIB
2/12/20	1.3	G.Kane	Changes for clarity.

Distribution (For Information, Review or Approval)	
Name	Resp (1)

Programme Manager – Day 1 Assurance	A

(1) Responsibility: R=Review, A=Approval, I=Information

Document Approval	
Date	24/11/2020
	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Following the disaggregation deep dive on the 23/11 the following changes to the Blueprint were agreed:

The Highways Adoptions Team: to be hosted < 12 months in the West rather than disaggregating as per the current Blueprints. They can be placed within the Highways Team. With the view to review and create separate teams within 6months, or at the time the new highways contracts being.

S106: Keep current NCC staff together hosted < 12 months in the North to work across the whole county-area rather than disaggregating the two NCC staff as per the current Blueprints. With a view to reviewing and aggregating the function with other district and borough s106 functions within 6 months.

2. Purpose of Request

The proposal related to the Highways Adoptions team is to retain this as a hosted service as described above. This is a team of 4 employees who are currently structured to work on a countywide basis in terms of completing negotiations on agreements for the adoption of new roads and works to be carried out by third parties on existing highways to facilitate development. These agreements relate to Sections 38 and 278 of the Highways Act 1980, respectively.

The roles in the team involve different disciplines and skills and also because of the small number of employees in the team these cannot easily be split to provide Day 1 assurance for the new councils. They also operate a countywide information system that will require significant work to disaggregate for North and West Northamptonshire.

The team has wide interaction with the development industry and with other technical disciplines (principally audits and inspections) within the highways responsibilities delivered by KierWSP.

The purpose of the request for the NCC s106 function is to provide resilience in the development management function for Day 1. A team of two is responsible for all negotiations with developers from a county council perspective regarding contributions for education and libraries. At present, the team manages c.295 'live' s106 agreements with 212 'pending' applications which may require s106 agreements if approved. These involve contributions valuing over £230m and the provision of c. three secondary schools and 15 primary schools. The team also provides a development management service on behalf of Fire & Rescue via a SLA

A review after six months enables both councils to revisit the position in light of related expertise, skills and experience, and determine the best approach for the longer term.

This change request only pertains to NCC s106 function and does not affect the future aggregation of district and borough s106 functions which is a separate element.

3. Likely Impact of Requested Change

None

4. Impact of *not* implementing Requested Change

As stated in Section 4 above the Highways Adoptions team comprises 4 employees whose roles involve different disciplines and skills which cannot be split easily to provide Day 1 assurance for the new councils. If this not implemented then there would be difficulty in maintaining the continuity of service delivery. This would impact on development activity because it is highly likely the relevant legal agreements (s278) would not be in place to allow access to the highway network by developers to undertake the necessary works.

Splitting the two NCC staff that comprise the s106 team for Day 1 would risk seriously weakening the ability of both councils to participate fully in, and influence, live negotiations with developers. These negotiations are led by the Senior Project Manager. Many of these negotiations are complex. They often involve developers seeking to renegotiate previous agreements to reduce and/or delay contributions. It would also impact of the ability to track and enforce triggers for payments from existing agreements.



5. Additional costs of implementing Requested Change

Capital Costs	Nil
Revenue Costs	Nil
Benefit Costs	Nil

6. Additional Benefits



Change Request Form

Document Type	Change Request Form – Highways Community Liaison
Programme Name:	Place West
Audience for this document	
Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board, Joint Implementation Executive	
Purpose of this document	
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders. The Change Request Form should be used alongside the Change Request Log to track progress (template available).	

Version History			
Date	Version	Author	Brief Comments on Changes
02/12/2020	1.0	N.Byrom	Changes to disaggregation of Highways Community Liaison Team following discussion at JIB (2/12/20)
3/12/20	1.1	G.Kane	Clarity on when the arrangement ends.

Distribution (For Information, Review or Approval)	
Name	Resp (1)
Programme Manager – Day 1 Assurance	A

(1) Responsibility: R=Review, A=Approval, I=Information



Document Approval	
Date	02/12/2020
	Programme Manager – Day 1 Assurance

1. Description of Requested Change

Highways Community Liaison: Keep current NCC staff together hosted < 12 months in the West rather than disaggregating the team to West and North as set out in the detailed service disaggregation spreadsheet. This was not specified per se in the Blueprints but the spreadsheet is disseminated and could cause confusion in the Highways function or those services interdependent with it.

2. Purpose of Request

The Community Liaison Officers (CLOs) inspect areas and liaise with the likes of Parish Councils to resolve highways issues. They then need to be able to instruct Kier directly to carry out works. If they were to work for the North, they would not have a contractual relationship with Kier because the contract sits with the West. This arrangement will continue until the end of the current KierWSP contract. Once the new highways contracts are in place, the authorities can create their own community liaison teams as they feel appropriate.

3. Likely Impact of Requested Change

None

4. Impact of *not* implementing Requested Change

This would mean the CLOs become unable to instruct the contractor directly and will have to go through the client team in the West. That is impractical. Whilst we will employ them all by the West, we will locate them in the North and West



so they have a relationship with their respective areas and loyalty to those organisations.

5. Additional costs of implementing Requested Change	
Capital Costs	Nil
Revenue Costs	Nil
Benefit Costs	Nil

6. Additional Benefits



Change Request Form

Document Type	Change Request Form - IASS
Programme Name:	CFN Education
Audience for this document	
Programme Board, Programme Manager – Day 1 Assurance, Programme Implementation Board	
Purpose of this document	
<p>The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders. The Change Request Form should be used alongside the Change Request Log to track progress (template available).</p> <p>Note: Change Request Forms must have approval from Programme Manager – Day 1 Assurance prior to submission to the Joint Implementation Board.</p>	

Version History			
Date	Version	Author	Brief Comments on Changes
25/11/2020	V0.1	K Barnsley	Creation
30/11/2020	V.02	S Muldoon and K Barnsley	Confirmation of the changes required following internal meetings and add. Info. provided
30/11/2020	V.3	L Cundall	Amends
01/12/20	V.4	Cathi Hadley	Amends
01/12/20	V.5	Louise Cundall	Approvals

Distribution (For Information, Review or Approval)	
Name	Resp ⁽¹⁾
Programme Manager – Day 1 Assurance	A



Sharon Muldoon – Director for Education	A
Cathi Hadley – DCS	A
Theresa Grant – Chief Executive	A
PMO	I
Programme Implementation Board	A
Joint Implementation Executive	A

(1) Responsibility: R=Review, A=Approval, I=Information

Document Approval	
Date	Who
30/11/20	Sharon Muldoon – AD for education Services
30/11/20	Cathi Hadley – DCS West and North Northants
01/12/20	Stuart Hill – Day One Programme Manager

1. Description of Requested Change

To move the IASS function from the original blue print of doubling up disaggregated service, to a hosted arrangement for 12 months, the North providing Services to the West managed under the ICF function.

The Information Advice and Support Service (IASS) provides impartial and confidential service, which gives free information, advice and support about matters relating to Special Educational Needs and Disabilities. The service operates at arm’s length from the Local Authority and clinical commissioning groups through independently trained staff.

The initial blueprints and structures have been reviewed in further detail based on the amount of monies that has been made available, raising questions as to how they would internally be managed and work operationally day to day. IASS is one such area having come into question and reviewed at senior management level in detail. It is currently sitting in the blueprint for both the North and West unitary, as a self-serving team within the Schools sector of the Education directorate.

It has been established that IASS operating as two separate departments, currently does not make best use of future value for money and would be more targeted and have potential for high efficiencies if it’s able to operate as one across both unitaries, to provide all residents the same level of service required.



Therefore, the appropriate location proposed for the future location of this service is to be held within the ICF function.

Intelligent Client Function (ICF) is a department and role being newly created as a Lead function in the North providing Services to the West, which will hold the responsibility, management and ownership of the Children’s Trust on behalf the two newly created unitaries.

2. Purpose of Request

Following change control requirement this report seeks to formally approve the change to the agreed blueprint of the North Northamptonshire and West Northamptonshire Structure via the Joint Implementation Board.

3. Likely Impact of Requested Change

The impact would be minimal and limited, this team operates across the County at present and will be able to provide the service North and West from vesting day. Where the current standards and performance can be maintained, no need to recruit or train pre vesting. The customers would receive a consistent offer and receive any local North and West information as required, and follow the annual evaluation data for the whole county and for the separate councils. Would also align to the guiding principles of Future Northants Safe and Legal change only for day one.

4. Impact of *not* implementing Requested Change

Without the change implemented there will be an unnecessary additional costs with a double structure, placing more pressure on the to-be North and West Unitary budgets.

IASS would also not be able to operate as a required at arm’s length impartial department from the Education Service areas, as well as the management hierarchy. Therefore, questions maybe raised over nature of the service in all aspects of ownership development and delivery.

5. Additional costs of implementing Requested Change

Capital Costs	0
Revenue Costs	0
Benefit Costs	£79,789.00 (One IASS SM & Admin post)



6. Additional Benefits

This change will allow time for this service to be reviewed and any future structures formed to identify transformational improvements post vesting.

The IASS has a manager currently based solely within the service, without additional LA/CCG or host body roles. Meaning the requested changes would align the service with assess? Access? to support under the ICF structure, aiding strategic planning, service management and quality assurance. Ensuring the views and experiences of parents, children and young people inform the development of policies and practice, so that the services provided by the IASS continue to meet the needs of families.

WEST NORTHAMPTONSHIRE SHADOW AUTHORITY

SHADOW EXECUTIVE MEETING

5 January 2021

Report Title	Draft Housing Revenue Account (HRA) Budget, Rent Setting 2021/22 and HRA Budget Projections 2022/23 to 2025/26
Report Author	Martin Henry, Executive Director of Finance Martin.henry@westnorthants.gov.uk

1. Purpose

- 1.1 The purpose of this report is to present for consultation the draft budget proposals for 2021/22, including Rent setting for 2021/22, and forecast budgets up to 2025/2026 for the Housing Revenue Account (HRA) and the HRA Capital Programme and financing proposals.
- 1.2 To note the draft capital programme new build programme that is expected to deliver up to approximately 1,200 new council homes over the next 5years.
- 1.3 The report also outlines the draft Total Fees for Northampton Partnership Homes (NPH) based on the draft 2021/22 budgets.

2. Recommendations

- 2.1 That Shadow Executive note the draft HRA budget including charges and rents as detailed in **appendices 1 and 4** for public consultation.
 - 2.2 That Shadow Executive note the draft HRA Capital Programme and financing, as detailed in **appendix 2** for public consultation.
 - 2.3 That Shadow Executive note the draft Total Fees proposed for NPH in **appendix 3** to deliver the services in scope.
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3. Issues and Choices

3.1 Report Background

- 3.1.1 Local housing authorities are required by Section 754 of the Local Government and Housing Act 1989 (the 1989 Act) to keep a HRA. The HRA reflects a statutory obligation to account separately for local authority housing provision. It identifies the major elements of the HRA expenditure and how these are funded, mainly from rents. The HRA budget process incorporates the calculation for the continuation of delivery of the HRA services by NPH. This report provides the updated financial position and indicative Total Fee for NPH for 2021/22 to provide the services in scope. It should be noted that the Total Fee for NPH in 2021/22 will be subject to approval of the HRA and General Fund Budgets by Council at its meeting in February 2021.
- 3.1.2 The Council has statutory responsibility for the HRA and will therefore retain management of the HRA. NPH, as part of their responsibilities, will provide the Council with information on its activities and advice on how best to make use of the resources within the HRA.

3.2 Issues and Choices

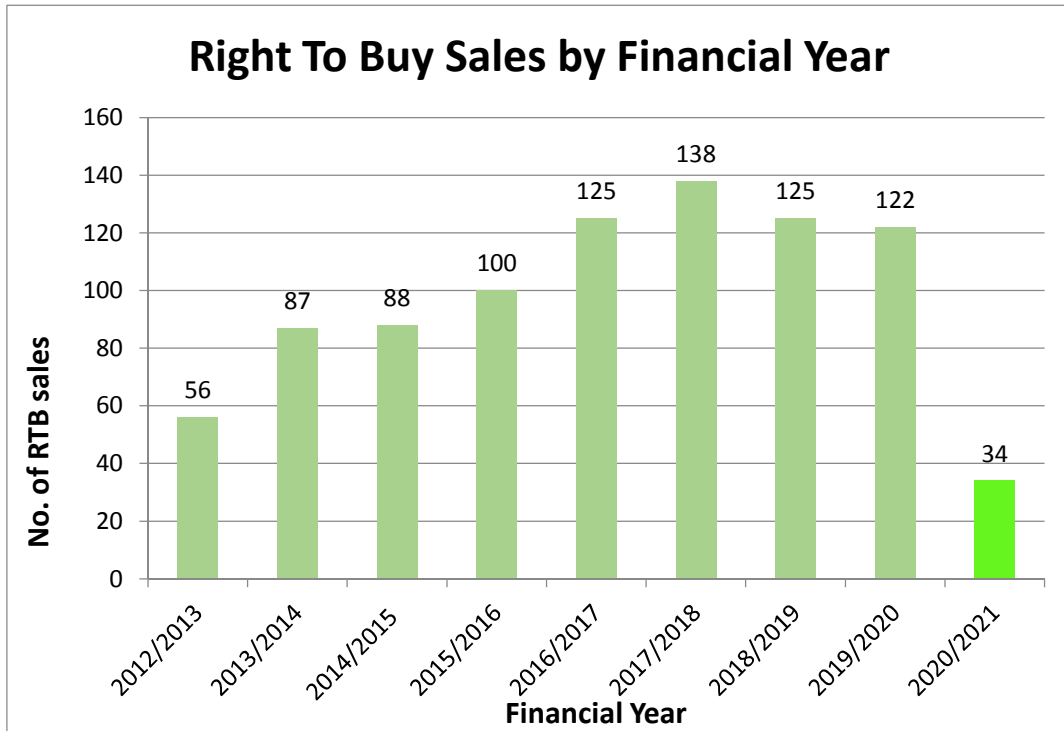
3.2.1 Economic Context.

There continues to be uncertainty around the national and global economic outlook, caused by various factors including the UK's withdrawal from the European Union and the Covid pandemic. Therefore, the draft budget is built on prudent assumptions around inflation, interest rates, the continuing strong demand for housing and the impact of high numbers of instances of homelessness.

National and Local Policy

- 3.2.2 Since the introduction of self-financing in 2012 there have been a host of government policy initiatives that have impacted upon housing finances. Some of the major impacting ones are the legislative backed 1 % rent reductions for 4 years from 1 April 2016, the encouraging of right to buy (RTB) by increasing RTB discounts, and the introduction of Universal Credit and Benefit Cap.
- 3.2.3 More recently the Government has pledged to spend an additional £2bn on affordable housing and a new policy came into effect from 1 April 2020 for future rent increases from 2020/21 with increases to be capped at CPI plus 1% for 5 years.
- 3.2.4 **Right to Buy (RTB)** sales have increased compared to recent years following an increase in discount levels introduced from April 2012. However, in the current year sales have significantly dropped mainly due to the Covid pandemic. The current year's sales at the end of November are 34.
- 3.2.5 When the budget was set for this year it was assumed that there would be approximately 90 sales in the year at this stage. The revised number of forecast sales in the year is 44 and is expected to generate useable capital receipts of £2.1m compared to an original budget estimate of £7.7m. However, the flip side of this reduction in RTB sales is that the amount rental income

should be greater than originally anticipated. The fall in sales is expected to be a one off and estimates for the draft budget include sales back at a prudent assessment similar to prior year levels. The pipeline of potential sales still looks to be at the same levels as prior years. The total RTB sales by financial year, including the current year to date is shown in the graph below:



Assumptions based on these recent trends are included within the indicative HRA capital programme financing shown at Appendix 2. There are two additional considerations arising from RTB sales:

- a) Additional pressure is placed on the revenue budgets through reduced rental income; assumptions around this have been built into the HRA budgets being considered in the draft budget; and
- b) The additional capital receipts, (retained one for one RTB receipt element 2021/22, must be used towards the provision of new social housing and can only be used to finance up to 30% of this cost. If the Council does not spend the capital receipts within a 3-year rolling timeframe, the receipts, plus an amount for interest, are payable to Government. Paragraph 3.2.10 provides more detail.

3.2.6 Housing Consultation – A new white paper is due out for Social Housing before the end of this calendar year.

A prior White paper consultation, A new deal for Social Housing, ran until November 2018. Government have yet to enact any such changes so the future is not certain.

3.2.7 Pay to Stay The Housing and Planning Bill 2016 made provision for the charging of “high income social tenants” with reference to the market rate or other factors based on income and the housing area. The Government

decided not to proceed with the policy in its current compulsory form. Local authorities and housing associations have discretion as to whether to implement the policy for tenants with incomes over £60k. This policy is currently not applied by the Council.

- 3.2.8 **New Council House Build** and the use of one for one RTB Receipts. NPH has been working closely with the Council on a 10-year development plan for delivering new affordable homes (including hundreds of new council homes) over the next ten years. This will help the Council to address the severe shortage of affordable housing in Northampton and reduce the rate at which the Council's housing stock is reducing through RTB. The new build programme is kept under constant review to ensure that it maximizes HRA capacity, safeguards the use of one for one RTB receipts and, where there is a robust business case, enables the delivery of affordable housing. This programme is also leveraging in grant funding from Homes England to support some of the new build projects. It should be noted under current rules that grant funding of schemes cannot occur where one for one RTB receipts are applied.
- 3.2.9 **One for one RTB Receipts** The use of prudential Borrowing in the HRA that enables borrowing that is affordable to fund the part of new build expenditure that one for one RTB receipts cannot meet under the rules. The one for one RTB receipts must be used to fund up to a maximum of 30% of new build, additionality projects or grants to Housing Association schemes. The RTB receipts must be spent within 3 years from receipt under the rules of the 2012 agreement, otherwise they are paid back to Treasury with interest at 4% above base. The outcome of a government consultation, concluded in October 2018, could increase the flexibilities around use of one for one RTB receipts in the future. However, Government have yet to enact any such changes so the future is not certain.

Housing Revenue Account Budget 2021/2022

- 3.2.10 The HRA is a ring-fenced account that represents the costs of holding the Council's housing stock. There are strict rules surrounding the costs and income that can be charged to this account. Much of the income and expenditure is dictated by legislation and regulation leaving the Council with direct control over a limited number of these budgets. The HRA Budget proposed for 2021/22 reflects the current service levels and any proposed changes in service delivery.
- 3.2.11 The HRA budget estimates are attached at Appendix 1 to this report. The main areas to the HRA are reported below
- 3.2.12 **Rental income**, by far the largest single budget within the HRA, has previously been calculated in accordance with national rent policy. In October 2017, the government announced its intention to set a long-term rent deal for both local authority landlords and housing associations. This would permit annual rent increases on both social rent and affordable rent properties of up to CPI plus 1 percentage point from 2020, for a period of at least five years ('the new policy'). The new policy came into effect from 1 April 2020.

- 3.2.13 The proposal for rent increases in 2021/22 is therefore the maximum 1.5%,(September 2020 CPI 0.5% plus 1%) on average across the housing stock in line with the policy.
- 3.2.14 **Application of the rent standard to local authority registered providers** from 2020 the government has directed the Regulator to apply its rent standard to all registered providers – i.e. to both local authority registered providers and private registered providers (the vast majority of which are housing associations). The government intends that the rent standard should apply to local authority registered providers from 2020 onwards because the previous arrangements for limiting the welfare costs associated with local authority rents (the Rent Rebate Subsidy Limitation scheme) will not operate alongside Universal Credit.
- 3.2.15 **Service Charges.** The schedule of draft Service Charges for 2021/22 is attached at Appendix 3. The level of Service Charges should be set to enable the full recovery of eligible costs incurred. It is proposed that general Service Charges are increased in line with CPI as at September 2020 (0.5%). The Service Charges have been reflected in the draft budgeted income figures.
- 3.2.16 **Repairs and Maintenance.** The revenue repairs and maintenance budget represent the non-capital costs of responsive and cyclical maintenance programmes. These are determined both with current service levels and the latest stock condition survey information.
- 3.2.17 **Capital Financing Costs.** The interest fixed rate costs to the HRA for 2021/22, (approx. £6.7m), are reflective of the move to a Self-financing HRA in 2012 where Northampton Borough Council, under the Government's prescription, took on the debt for its stock as calculated by the Self- Financing Determinations. They reflect the preferential rates provided to Councils at that time from the Public Works Loans Board (PWLb). The debt is subject to close management with rigorous monitoring to ensure that the financial position for the HRA is optimised. In addition to this the draft budget also reflects a significant increase in prudential borrowing to fund the ambitious new build programme and it is forecast to increase as more borrowing is taken on in future years. The additional borrowing and therefore the revenue charges through to the HRA is deemed to be affordable.
- 3.2.18 The Business Plan since Self-financing model in 2012 assumed a level of increasing balances available to repay debt in the future. The changes imposed by government through the rent decreases 2016-20, increasing reductions in housing stock, and the current economic outlook have undermined this position and therefore these surpluses are forecast not to materialise until later in the life of the 30-year plan.
- 3.2.19 **Welfare Reform.** Universal Credit (UC) and other welfare reform is available to people who are on a low income or are out of work. It aims to make the welfare system simpler by replacing six benefits and tax credits with a single monthly payment. The Council initially went live with the delivery of UC in November 2015 for certain aspects. The DWP have now rolled out the full Digital service for new UC cases, which went live for the Council in 2019. New claims to legacy benefits are now closed and the migration of existing benefit claims will follow, expected to be completed by March 2022. The Council continues to monitor closely the impact of welfare reforms which will have an

impact on rent collection for the Council and therefore impact on the overall HRA position. The level of arrears and required level of bad debt provision will continue to be monitored closely throughout 2020/21 financial year and future years in light of the welfare reform roll out and the performance levels in the management of arrears.

3.2.20 **NPH Management Agreement / services being provided** The Council pays NPH a Total Fee to provide both the Housing Landlord services and those Housing General Fund Services in scope. NPH receive what is defined in the Management Agreement as the “Total Fee” which will comprise of the majority of HRA budgets including the Capital Programme; Repairs and Maintenance and Operations Budgets. The Capital Programme (Improvement Programme) and the Repairs and Maintenance budgets are managed budgets, whilst the Operations budget is a devolved budget. NPH will receive some Housing General Fund (HGF) budgets in relation to relevant service attributable to these. NPH operate using the management fee and manage the capital programme budget and revenue repairs and maintenance budget in accordance with what has previously been agreed by Northampton Borough Council.

3.2.21 **The Draft NPH Total Fee** has been worked through in partnership with NPH taking into account the current level of budgets and the changes in available funding services in scope. The HRA Business Plan will be updated for the purposes of setting the final budget. It should be noted that further work with NPH is ongoing and the HRA Business Plan is to be updated between Draft budget and Final which could lead to changes. The Draft NPH fee will be formerly confirmed by the NPH Board at its meeting scheduled in February 2021. The table below shows a summary of the draft 2021/22 Total Fee proposed. A further breakdown and detail can be found at Appendix 4.

Summary Table of Total Fee to NPH for 2021/22

NPH Management Fee	2021/22 £'000s
Management - HRA	14,793
Management - General Fund Housing	282
Maintenance - Responsive & Cyclical (Managed Budget)	12,633
Capital - Improvements to Homes (Managed Budget)	49,868
Capital - Improvement to Environment (Managed Budget)	3,000
Capital - Managed Budget ICT	426
Total Fee	81,002

- Note this includes £228k of additional budget request that will be subject to Executive Director of Finance approval if it is to be included in the final budget

3.2.22 The funding pressures for 2021/2022 have been managed jointly by NBC and NPH, working together to maximise resources out of current budgets and minimising, where possible, any re-phasing of the capital programme. Prior to

the final HRA budget being approved in February 2021 the Council will continue to work closely with NPH in relation to the draft budgets and the medium term financial plan. Medium term planning pressures and any emerging pressures and savings will need to be built into NPH future budget plans.

- 3.2.23 A summary of the overall draft HRA budget for 2021/22 and 2022 to 2026 is contained in Appendix 1.

HRA Reserves

- 3.2.24 In previous years, Northampton Borough Council has approved the prudent set aside of funds into specific HRA reserves to finance future HRA expenditure including capital financing, risks of leaseholder claims, service improvements, and an insurance reserve. The use of the capital reserve is incorporated into the capital programme financing considerations included later in this report. The table below shows the forecast opening balance on the reserves as at 1 April 2021. Any variations in the current financial year that requires the use of reserves not currently known will reduce this forecast starting position and impact on the finances available.

Summary of HRA Earmarked Reserves and Working Balances

Reserves	Balance B/f 01/04/2021	Earmarked in Year	Applied in Year	Balance C/f 31/03/2022
	£'000	£'000	£'000	£'000
HRA Reserves	(128)	0	128	0
HRA Leaseholder Reserve	(500)	0	0	(500)
HRA Service Improvement Reserve	(1,000)	0	0	(1,000)
HRA Insurance Reserve	(300)	0	0	(300)
Total HRA Reserves	(1,928)	0	128	(1,800)
Min Level of Working Balances	(5,000)	0	0	(5,000)
Total HRA Reserves	(6,928)	0	128	(6,800)

- 3.2.25 These reserves can be drawn down as required, to finance the future strategic requirements of the service, and will be subject to change as forecasts of funding are updated. These reserves can only be used for the HRA.

Adequacy of Working Balances

- 3.2.26 A prudent level of working balance, along with appropriate application of reserves, should be part of the overall budget. The Executive Director of Finance will review the level of balances required to support the HRA spend

annually as part of the formulation of the budget. The view of the Executive Director of Finance is that the HRA balance should remain at the current level of £5m for 2021/22. This minimum level is designed to cope with unpredictable circumstances, which cannot be addressed by management or policy action within the year. Further work is ongoing, taking into account the government's latest budget, to assess the level of working balances in conjunction with NPH and any changes will be reported to shadow executive in February 2021.

Housing Revenue Account Capital Programme

- 3.2.27 Capital expenditure is essential for the Housing Revenue Account in order to maintain and improve the Council's housing stock. The HRA is an asset driven service and as such the capital programme plays a key part in the delivery of the HRA service.
- 3.2.28 The proposed HRA capital programme for 2021/22 to 2025/26 is attached at Appendix 2 and summarised in the table below for 2021/22. The value of the total proposed HRA capital programme for 2021/22 is £59.8m.

Capital Programme 2021/22	2021-22 £'000
External Improvements	11,650
Internal Works	3,050
Structural Works and Compliance	450
Disabled Adaptations	650
Environmental Improvements	3,000
IT Development	426
New Build Programme/Major Projects	34,068
Buybacks and Spot Purchases	6,500
Total HRA Capital Programme	59,794
FINANCING:	
Major Repairs Reserve/Depreciation	15,150
Capital Receipts - RTB (excl 1-4-1)	2,912
Capital Receipts - RTB 1-4-1 Receipts	6,270
Capital Receipts - Grant Funding	12,482
Revenue/Earmarked Reserve	1,083
Borrowing / CFR	21,897
Total Financing - HRA	59,794

- 3.2.29 The Asset Management Plan has been reviewed by NPH and is refreshed annually with the latest information. This will need to be put through the HRA Business Plan and future budgets. In addition to this included in the draft capital programme is a significant investment to the New Build and Major works for 2021/2022, (£34.1m to deliver up to 200 new homes in year), reflecting the ability to prudentially borrow within the HRA, use of one for one receipts and leveraging in of grant funding. This has been included in the draft

budget and will inform the refresh of the Council's HRA Business Plan for 2021/2022. The HRA Capital Programme has been developed within the context of the 30-year Business Plan and the existing Asset management plan. The capital programme has a direct impact on the revenue position of the HRA and the revenue impact has been factored into the budget for 2021-22.

3.2.30 Although the focus of the Capital Programme is to maintain and improve the Council's homes, there is also a focus on environmental improvements and an increased focus on the development of new homes to help address the shortage of affordable housing in the Borough. The New Build/ Major projects draft budget and indicative budgets for the following 5 years is expected to deliver up to 1,200 new council homes.

3.2.31 The detail of the HRA capital programme for 2021/22 and beyond will be refined in line with annual updates to the Business plan, Asset management plan, and any changes to government policy and legislation.

3.2.32 The proposed HRA capital programme for 2021/22 includes a £6.5m budget to purchase former council properties and purchase properties available on the market which are of a strategic importance.

Capital Strategy

3.2.33 The aim of the Capital Strategy is to provide a clear framework for capital funding and expenditure decisions in the context of the Council's vision, values, objectives and priorities, financial resources and spending plans. The overall strategy has been refreshed and will be part of the budget setting documentation that is considered by the full authority in February.

3.3 The Next Steps

3.3.1 This report seeks the noting and endorsement of the HRA draft budget. The final HRA budget will be brought back to shadow executive in February and then onto the full authority meeting on 23 February 2021 where it will be considered alongside the general fund revenue budget and Council Tax setting report.

3.4 Consultation

3.4.1 Formal consultation with the public and stakeholders including local businesses will be launched in January 2020 and will continue for four weeks.

3.5 Choices (Options)

3.5.1 Shadow Executive are requested to receive the draft budget proposals for 2021/22 for the HRA and HRA Capital programme and indicative budgets for 2022/23 to 2025/26 as summarised in the appendices to this report for information and note they will be used for consultation purposes.

3.5.2 Cabinet can note the proposed Rent increase of 1.5% for 2021/22 and increases in service charges.

4. Implications (including financial implications)

4.1 Policy

- 4.1.1 The HRA revenue budget is set in the overall context of the HRA 30 year business plan.
- 4.1.2 The Capital Programme for the HRA is set in the context of the Council's HRA 30 year Business Plan.

4.2 Resources and Risk

- 4.2.1 HRA budgets may be subject to further changes to reflect the Government's settlement and any Housing White Papers.
- 4.2.2 The HRA 30 Year Business Plan for 2021/2022 is currently being built and will be subject to external review to assess for accuracy and robustness, the result of which could require revisions to the HRA Capital programme. This will be reported on and reflected in the final budget report.

4.3 Legal

- 4.3.1 The Council has a legal duty to set a balanced budget each year, bearing in mind its fiduciary duties to the taxpayer, and the HRA is not allowed to go into deficit by law. In exercising these duties, the Council must comply with various legislation and administrative duties.

4.4 Equality and Health

- 4.4.1 The Public Sector Equality Duty (PSED) requires the shadow authority to have due regard to the need to eliminate discrimination, advance equality of opportunity and foster good relations between different people when carrying out its activities. Failure to comply with this duty would be challengeable in the courts.
- 4.4.2 Equality impact assessments are 'living' documents and relevant feedback from the consultation process will be considered with any mitigations to limit its impact implemented alongside the final options taken forward and approved in February 2021

4.5 Appendices

The **Appendices** are set out as follows:

- 1 Draft HRA Budget Summary
- 2 Proposed HRA Capital Programme and Financing
- 3 Schedule of Proposed HRA Fees and Charges
- 4 NPH Total Fee Detail

4.6 Environmental implications (including climate change issues)

4.6.1 Any potentially negative environmental impacts, especially with regard to climate change issues, were considered as part of each of the medium term planning options submitted. They seek to avoid any negative environmental impact.

4.6.2 Northampton Partnership Homes is integrating sustainability and biodiversity into both its new build programme and neighbourhood investment. Examples include:

- Reviewing waste strategies for new build schemes both in construction and in occupation once completed
- Renewable energy into new build housing schemes such as the plan to include photovoltaic panels on the Billing Brook Road Scheme and The Roof Gardens and to include air source heat pumps in the Moray Lodge supported housing scheme.
- Inclusion of car charging points in a number of developments including The Roof Gardens.
- Installing loft insulation (where it is absent) and where appropriate external wall insulation as part of the internal works programme to properties
- Creating secure bicycle storage for tenants living in apartment blocks as part of the wider neighbourhood investment.
- Installation of bat boxes and swift boxes in many of the new build schemes.
- Installation of LED lighting in communal areas of existing apartment blocks and in new build schemes
- Providing opportunities for tenants in apartments to grow their own food through the installation of raised beds and water butts in communal gardens.
- Piloting new 'fabric first' approaches to whole house retrofit on solid wall properties
- Promoting energy and water monitoring
- Publishing a new three year sustainability strategy

4.7 Other implications

4.7.1 None.

5. Background Papers

5.1 None

DRAFT Housing Revenue Account Budget Summary 2021-2026

Description	Note	Budget 2021/22	Estimate 2022/23	Estimate 2023/24	Estimate 2024/25	Estimate 2025/26
INCOME						
		£	£	£	£	£
Rents - Dwellings Only	(1)	(51,317,635)	(54,414,672)	(57,293,595)	(62,389,828)	(62,990,650)
Rents - Non Dwellings Only		(938,544)	(924,514)	(909,995)	(895,727)	(883,025)
Service Charges		(2,464,032)	(2,511,444)	(2,555,531)	(2,596,999)	(2,646,010)
Other Income		(14,936)	(14,936)	(14,977)	(14,936)	(14,936)
Total Income		(54,735,148)	(57,865,567)	(60,774,098)	(65,897,491)	(66,534,621)
EXPENDITURE						
Repairs and Maintenance	(2)	14,247,941	14,531,441	14,660,242	14,839,212	14,839,212
General Management	(2)	9,199,348	9,517,470	9,640,848	9,762,550	9,774,837
Special Services	(2)	4,857,900	4,956,888	5,011,256	5,065,691	5,066,529
Rents, Rates, Taxes & Other Charges		302,000	302,000	302,000	302,000	302,000
Increase in Bad Debt Provision		400,000	400,000	400,000	400,000	400,000
Total Expenditure		29,007,189	29,707,799	30,014,346	30,369,453	30,382,579
Medium Term Planning Pressures	(3)	228,000	0	0	0	0
Continuation Budget		(25,499,959)	(28,157,767)	(30,759,753)	(35,528,038)	(36,152,042)
Net Recharges from the General Fund		2,650,000	2,650,000	2,650,000	2,650,000	2,650,000
Interest & Financing Costs		6,744,950	7,383,547	7,857,259	8,510,405	8,758,282
Revenue Contributions to Capital		1,083,009	2,974,220	5,102,493	9,217,633	10,593,761
Depreciation		15,150,000	15,150,000	15,150,000	15,150,000	14,150,000
Contribution to / (from) Reserves		(128,000)	0	0	0	0
Remaining Deficit / (Surplus)		0	0	0	0	0

Notes

(1) CPI (0.5%) plus 1% increase from 2021/22

(2) Expenditure budgets above are proposed to be split between NBC and NPH as per the table below.

(3) Medium Term Planning Pressures could affect NPH Fee in future years

Description	£'000
Repairs and Maintenance	14,248
General Management	9,277
Special Services	4,858
Less NBC Retained Budgets	(957)
NPH Budget as per Appendix 4	27,426

	Budget 2021-22	Estimate 2022-23	Estimate 2023-24	Estimate 2024-25	Estimate 2025-26	Total
	£	£	£	£	£	£
External Improvements	11,650,000	12,450,000	12,450,000	10,450,000	8,450,000	55,450,000
Internal Works	3,050,000	2,250,000	2,250,000	4,250,000	5,250,000	17,050,000
Structural Works and Compliance	450,000	450,000	450,000	450,000	450,000	2,250,000
Disabled Adaptations	650,000	650,000	650,000	650,000	650,000	3,250,000
Environmental Improvements	3,000,000	3,000,000	3,000,000	3,000,000	3,000,000	15,000,000
IT Development	425,500	315,000	260,000	245,000	245,000	1,490,500
New Build Programme/Major Projects	34,068,000	34,994,000	34,994,000	20,900,000	20,900,000	145,856,000
Buybacks and Spot Purchases	6,500,000	500,000	500,000	500,000	500,000	8,500,000
Total	59,793,500	54,609,000	54,554,000	40,445,000	39,445,000	248,846,500

SPLIT:						
Improvements to Homes	15,800,000	15,800,000	15,800,000	15,800,000	14,800,000	78,000,000
Improvements to Environment	3,000,000	3,000,000	3,000,000	3,000,000	3,000,000	15,000,000
IT Development	425,500	315,000	260,000	245,000	245,000	1,490,500
New Build Programme/Major Projects	34,068,000	34,994,000	34,994,000	20,900,000	20,900,000	145,856,000
Total NPH	53,293,500	54,109,000	54,054,000	39,945,000	38,945,000	240,346,500
NBC Retained - Buy Backs	6,500,000	500,000	500,000	500,000	500,000	8,500,000
Total Capital Programme	59,793,500	54,609,000	54,554,000	40,445,000	39,445,000	248,846,500

FINANCING:						
Major Repairs Reserve/Depreciation	15,150,000	15,150,000	15,150,000	15,150,000	14,150,000	74,750,000
Capital Receipts - RTB (excl 1-4-1)	2,912,000	2,912,000	2,912,000	2,912,000	2,912,000	14,560,000
Capital Receipts - RTB 1-4-1 Receipts	6,270,000	6,050,052	3,640,000	3,640,000	3,640,000	23,240,052
Capital Receipts - Grant Funding	12,481,838	1,945,763	3,916,088	3,916,088	0	22,259,776
Revenue/Earmarked Reserve	1,083,009	2,974,220	5,102,493	9,217,633	10,593,761	28,971,116
Borrowing / CFR	21,896,653	25,576,965	23,833,419	5,609,279	8,149,239	85,065,556
Total Financing - HRA	59,793,500	54,609,000	54,554,000	40,445,000	39,445,000	248,846,500

SCHEDULE OF SERVICE CHARGES 2021/22

<u>SERVICE CHARGES</u>		PRESENT	PROPOSED
		£	£
Garages (+VAT in some cases)		9.61	9.66
Commuter Surcharge on Garages (+VAT in some cases)		15.28	15.35
Communal Heating		10.74	10.79
Sheltered Charges - Level 1 Low		6.42	6.46
Brookside Meadows New Build - Service Charges - Tarmac and Block Paving - Electric Gates		4.02 1.12	4.04 1.13
Centenary House New Build - Service Charges Communal Area Maintenance Communal Area Cleaning Grounds Maintenance Electric		1.79 3.51 1.17 3.48	1.80 3.53 1.18 3.50
Little Cross Terrace New Build - Service Charges Communal Area Cleaning Grounds Maintenance TV Aerials		1.86 1.23 0.32	1.87 1.24 0.32
Eleanor Lodge - Service Charges Grounds Maintenance Electric Gas Water Furniture Electric (Self-contained areas) Gas (Self-contained areas)		1.00 4.87 3.31 6.23 4.90 3.34 2.27	1.00 4.90 3.32 6.27 4.93 3.35 2.28
CCTV		3.95	3.97
Grounds Maintenance		2.16	2.17
<u>Non- Standard Service Charges</u>			
Electricity Communal	Low	0.12	0.12
	High	7.24	7.28
Estate Services - Cleaning and Caretaking			
	- Service Level 1	0.40	0.40
	- Service Level 2	0.98	0.98
	- Service Level 3	1.22	1.23
	- Service Level 4	1.62	1.63
	- Service Level 5	2.44	2.45
	- Service Level 6	3.66	3.68
	- Service Level 7	4.87	4.89
	- Service Level 8	4.87	4.89

DRAFT Schedule 5 - NPH Management Fee

Housing Management & Maintenance(HRA)		2021/22 Budget	2022/23 Estimate	2023/24 Estimate	2024/25 Estimate	2025/26 Estimate
		£	£	£	£	£
Total	Repairs & Maintenance	12,633,188	12,888,656	13,019,936	13,198,699	13,198,699
Total	General Management	7,421,048	7,623,688	7,730,374	7,839,443	7,839,443
Total	Special Services	4,263,453	4,351,905	4,405,178	4,459,487	4,459,487
Total	Recharges	3,108,246	3,169,192	3,169,192	3,169,192	3,169,192
TOTAL HRA		27,425,935	28,033,441	28,324,680	28,666,821	28,666,821
Housing General Fund						
Total	Travellers Site	202,312	202,646	203,311	203,990	203,990
Total	Home Choice & Resettlement	80,000	80,000	80,000	80,000	80,000
TOTAL GF HOUSING		282,312	282,646	283,311	283,990	283,990
TOTAL REVENUE		27,708,248	28,316,087	28,607,991	28,950,810	28,950,810
HRA Capital Programme (See Notes)		53,293,500	54,109,000	54,054,000	39,945,000	38,945,000
GRAND TOTAL		81,001,748	82,425,087	82,661,991	68,895,810	67,895,810
Analysed by Funding Pots						
	Management - HRA (including Special Services)	14,792,748	15,144,785	15,304,743	15,468,122	15,468,122
	Management - GF Housing	282,312	282,646	283,311	283,990	283,990
	Maintenance - Managed Budget Responsive	9,727,555	9,924,265	10,025,351	10,162,998	10,162,998
	Maintenance - Managed Budget Cyclical	2,905,633	2,964,391	2,994,585	3,035,701	3,035,701
	Capital - Managed Budget Improvement to Homes	49,868,000	50,794,000	50,794,000	36,700,000	35,700,000
	Capital - Managed Budget Improvement to Environment	3,000,000	3,000,000	3,000,000	3,000,000	3,000,000
	Capital - Managed Budget ICT	425,500	315,000	260,000	245,000	245,000
Total		81,001,748	82,425,087	82,661,991	68,895,810	67,895,810

Notes:

HRA Capital programme includes additional scheme pending cabinet approval in December 2020

All figures are subject to the annual approval, by Council, of the HRA and General Fund budgets in accordance with clause 10

Estimated figures for future years are shown in real terms including inflation on supplies and services.

Capital programme based upon figures provided in support of the revised Asset Management Strategy.

Indicative year 5 included to comply with management agreement (based on 24/25 figures). Subject to HRA Business planning refresh.

Medium Term Planning Pressures could affect NPH Fee in future years

WEST NORTHAMPTONSHIRE SHADOW AUTHORITY

SHADOW EXECUTIVE MEETING

5 January 2021

Report Title	Harmonisation of Council Tax Discounts and Premiums for West Northamptonshire Council
Report Author	Martin Henry Executive Director of Finance martin.henry@westnorthants.gov.uk

1. Purpose

- 1.1 The purpose of this report is to outline the current Council Tax discounts and premiums that are in place across the districts and borough and to seek agreement for these discounts to be harmonised for West Northamptonshire from 1 April 2021.

2. Recommendations

- 2.1 It is recommended that the Shadow Executive approve the following Council Tax discounts and premiums to be effective from 1 April 2021:
- Second homes discount to be set at zero
 - Discount for unoccupied and substantially unfurnished properties which are uninhabitable due to requiring major repairs to be set at zero.
 - Unoccupied and substantially unfurnished properties discount to be set at zero
 - Long term empty premium to be set as follows: where a property has been empty for more than two years but under 5 years a Council Tax premium of 100% to be charged: where a property has been empty over 5 years a premium of 200% to be charged.

3. Issues and Choices

3.1 Report Background

- 3.1.1 The Local Government Finance Act 2021 abolished certain Council Tax discounts and gave Local Authorities greater flexibilities for certain discounts from April 2013. The Act also introduced powers to allow Councils to charge

up to 100% of the Council Tax in respect of second homes, and to charge a premium in respect of dwellings which have been unoccupied and unfurnished for at least two years.

3.1.2 Currently in West Northamptonshire, each of the Districts and Borough have slightly different discounts and premiums. The current position for each authority is shown below:

	Daventry District Council	Northampton Borough Council	South Northants Council
Second homes discount	Zero	Zero	Zero
Empty and unfurnished discount	Zero	Zero	50% for 3 months and then zero
Long term empty premium	50% after two years	100% after 2 years 200% after 5 years	100% after two years
Empty and uninhabitable and requiring major repair	Zero	Zero	Zero

3.2 Issues and Choices

Harmonisation of Council Tax discounts and premiums

3.2.1 Members of the Task and Finish group received a paper on the current Council Tax discounts and premiums across the West Northants area. Policies for empty homes may reflect and support corporate aims to bring empty properties back into use. There is also financial incentive through the New Homes Bonus scheme that rewards local authorities for growth in the Council Tax base. Therefore, there is strong incentive in keeping the number of long-term empty properties to a minimum. As the current schemes vary across West Northants the group recommended that the policies should be harmonised from 1 April 2021.

Details of the proposals to harmonise discounts and premiums.

Second Homes

The proposal is to harmonise this discount at zero for West Northants Council from 1st April 2021. Currently the policies for all three Councils are aligned and reflect a zero discount and therefore there is no impact from this proposal.

Unoccupied and substantially unfurnished

The proposal is to harmonise this discount at zero for West Northants Council from 1 April 2021. Currently Daventry District Council and Northampton Borough Council have their unoccupied and unfurnished discount set at zero. South Northamptonshire Council has a discount of 50% for three months and then zero. There are currently 198 taxpayers in South Northants who have a 50% discount and who would therefore be impacted by this proposal.

Long term empty premium

The proposal is to harmonise the long-term empty premium as follows

- at 100% for properties that have been empty for 2 years
- at 200% for properties that have been empty for 5 years or more.

Currently Daventry have a premium of 50% for long term empty properties. Based on current modelling 44 taxpayers will be impacted by the introduction of 100% premium after 2 years and a further 19 taxpayers will be impacted by a 200% premium after 5 years.

South Northants have a long-term empty premium of 100% after 2 years. The introduction of a 200% premium after 5 years will impact on 27 taxpayers.

Northampton Borough already have a long-term empty premium of 100% after 2 years and 200% after 5 years and so there will be no impact from this proposal.

The financial impact of this proposal is shown later in this report.

Premium for unoccupied and uninhabitable property requiring major repair

The proposal is to harmonise this discount at zero. This is in line with the current policies at all three Councils and therefore there will be no impact from this proposal.

4. Implications (including financial implications)

4.1 Policy

4.1.1 West Northamptonshire Council will need to determine whether Council Tax discounts are awarded in respect of empty properties, second homes and whether a premium is charged on long term empty properties. This report details the current position throughout West Northants. It is recommended that these discounts and premiums are harmonised from 1 April 2021 so ensuring equality across the new West Northamptonshire Council area. Please note that members will receive a separate report on the Local Council Tax Reduction Scheme.

4.2 Resources and Risk

4.2.1 It should be noted that it is difficult to accurately predict the overall impact from the recommendations contained in this report. This is due to a number of factors including the possible changes in taxpayers behaviour and personal circumstances and the impact of Covid-19 and how it affects individual taxpayers. The position will be kept under review as this progresses.

4.3 Financial Implications

4.3.1 As previously highlighted, it is difficult to predict the overall financial impact from the recommendations outlined in this report as taxpayers may have changes in circumstances once the changes are introduced. The changes will all result in increased income to the Council. The table below provides an estimate (based on current data) of the possible financial impact from the suggested changes:

Estimated impacts from harmonising discounts/premiums	Unoccupied and unfurnished Zero	Second homes Zero	Long term empty 100% after 2 years	Long term empty 200% after 5 years	Uninhabitable
Daventry District Council	No change	No change	36,543	47,382	No change
Northampton Borough Council	No change	No change	No change	No change	No change
South Northants Council	45,908	No change	No change	51,197	No change
Total cost (+) saving (-)	-45,908			-98,579	No change

In total it is estimated that the changes based on the current information could lead to increased income of £144,487.

4.3 Legal

4.3.1 The Local Government Finance Act 2012 revoked certain Council Tax exemptions and replaced them with locally agreed discretionary discounts from April 2013. The Act also introduced powers allowing Councils to charge up to 100% of Council Tax in respect of second homes and a premium in respect of dwellings that have been empty and unfurnished for at least two years.

4.3.2 The Shadow Authority will need to determine whether Council Tax discretionary discounts are awarded in respect of empty properties, whether any discount is awarded for second homes, and whether a premium is charged on long term empty properties. There is no requirement to consult on this.

4.4 Equality and Health

4.4.1 An equality Impact assessment has been carried and has not highlighted any negative or positive impacts on individuals with protected characteristics.

WEST NORTHAMPTONSHIRE SHADOW AUTHORITY

SHADOW EXECUTIVE COMMITTEE MEETING

5th January 2021

Report Title	Assets Process	
Report Author	Jeremy Rawling, Head of Future Northants Programme Management Office. lgrpmo@northamptonshire.gov.uk	
Future Northants Programme Name	Corporate	
Future Northants Programme Lead	Martin Cox	
Date of final endorsement by Joint Implementation Board	2 nd December 2020	
Date of final endorsement by Joint Implementation Executive	9 th December 2020	

Contributors/Checkers/Approvers		
West MO (for West and joint papers)	Catherine Whitehead	Commented 15/12/2020
West S151 (for West and joint papers)	Martin Henry	Approved 15/12/2020

List of Appendices

Appendix A – Assets Process

1. Purpose of Report

- 1.1. To seek member approval to minor changes to the Assets Process previously agreed.

2. Executive Summary

- 1.2. Due to the experience gained in using the previously agreed Assets process, and the passage of time, it is necessary to make minor changes to the process.
- 1.3. This report details the changes sought and recommends their approval by the Shadow Executive.

- 1.4. Mirror reports will be submitted to both the West and North Shadow Executives.

3. Recommendations

- 3.1 It is recommended that the Shadow Executive Committee:
- a) Approve the changes to the Assets Process described in this report.
- 3.2 *(Reason for Recommendations*
- *Consistency with previous decisions)*

4. Report Background

- 4.1 In June 2020 the West and North Shadow Executives approved a paper entitled “The Assets, Capital Schemes and Reserves Notification Process”, the purpose of which was to set out for approval and adoption a process that allows discussions to be held and conclusions reached in a managed manner on proposals from existing councils concerning assets, capital schemes and reserves.
- 4.2 In using the process, a few aspects have emerged that require minor changes to the report. These are summarised as:
- 4.2.1 Giving due consideration to the Workforce and HR sections set out in the Change Freeze document;
 - 4.2.2 Adding that any proposed leasing of assets or provision of licences to occupy assets must be notified to the relevant Shadow Executive(s), where no de minimis level will apply.
 - 4.2.3 Deleting reference to interim Chief Executives, now that the permanent Chief Executives have been appointed.

5. Issues and Choices

- 5.1 There are no significant issues or choices. These changes have arisen due to experience gained in using the process, and programme progress over the intervening period.

6. Implications (including financial implications)

6.1 Resources and Financial

- 6.1.1 The resource and financial implications are positive, given that these changes increase the scope of activities that must be notified to the relevant Shadow Executive(s) and allow for due consideration of the Change Freeze document.

6.2 Legal

- 6.2.1 There are no legal implications arising from the proposals.

6.3 Risk

6.3.1 There are no significant risks arising from the proposed recommendations in this report.

6.4 **Consultation**

6.4.1 It is not appropriate to consult on this proposal.

6.5 **Consideration by Overview and Scrutiny**

6.5.1 This proposal (and the previous paper) have not been considered by Overview and Scrutiny.

6.6 **Environmental Impact**

6.6.1 There is no Environmental Impact to this proposal.

6.7 **Community Impact**

6.7.1 There is no Community Impact to this proposal.

6.8 **Equalities**

6.8.1 An EqIA is not required for this proposal.

7. **Background Papers**

7.1 [West Northants Shadow Executive 23rd June 2020](#)

Assets, Capital Schemes and Reserves Notification Process

Any **proposed** purchase, disposal and transfer of assets, new capital schemes with on-going financial commitments and use of reserves **above those already set out in each council's budget**, by any of the existing councils above a set de minimis level must be notified to the relevant Shadow Executive(s)¹.

The de minimis level above which notification for financial proposals must be made is £100,000.

The notification requirement and de minimis level will apply to both capital and revenue proposals.

Exceptions will be:

- Adult and Children care packages
- HR matters and issues, but due consideration must be given to the Workforce and HR sections set out in the Change Freeze document.

Any proposed leasing of assets or provision of licenses to occupy assets must be notified to the relevant Shadow Executive(s). No de minimis level will apply.

The spirit of this process is that a council should not be breaking down items into parts in order that they become lower than the de minimis level.

Any proposal must be submitted by the existing council's chief executive or s151 officer to the Chief Executive(s). They will arrange for this to be discussed at the next meeting of the Shadow Executive(s).

The Shadow Executive(s) will act as a consultee and will be asked to endorse, rather than approve the proposal put before it.

If the proposal needs discussion before a scheduled Shadow Executive meeting, then endorsement will be sought from the Leader(s) of the Shadow Executive(s).

The Procurement Notification Process already covers the management of contracts.

Andrew Hunkin

Lead Enabler: Legal and Democratic

May 2020 (Amended November 2020)

Note 1 – a proposal may affect one or both shadow authorities.